

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2023 Emergency Management Baseline Assessment Grant**

**All entities wishing to do business with the federal government must have a unique entity identifier (UEI). The UEI number is issued by the SAM system. Requesting a UEI using Sam.gov can be found at: <https://sam.gov/content/entity-registration>.**

**Grants.gov registration information can be found at:  
<https://www.grants.gov/web/grants/register.html>.**

**Planned UEI Updates in Grant Application Forms:**

*On April 4, 2022, the Data Universal Numbering System (DUNS) Number was replaced by a new, non-proprietary identifier requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is the Unique Entity Identifier (UEI).*

*Additional Information can be found on Grants.gov:*

<https://www.grants.gov/web/grants/forms/planned-uei-updates.html>

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**A. Program Description****1. Issued By**

U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/Resilience/Office of Resilience Strategy (ORS)/Evaluation and Analysis Division (EAD)

**2. Assistance Listings Number**

97.131

**3. Assistance Listings Title**

Emergency Management Baseline Assessment Grant

**4. Funding Opportunity Title**

Fiscal Year 2023 Emergency Management Baseline Assessment Grant (EMBAG)

**5. Funding Opportunity Number**

DHS-23-NPD-131-00-99

**6. Authorizing Authority for Program**

Section 503 (b)(2)(G) of the Homeland Security Act of 2002, as amended (6 U.S.C. Section 313 (b)(2)(G)).

**7. Appropriation Authority for Program**

Title III, Protection, Preparedness, Response, and Recovery, Federal Emergency Management Agency, Operations and Support, Department of Homeland Security Appropriations Act, 2023, (Pub. L. No. 117-328).

**8. Announcement Type**

Initial

**9. Program Category**

Preparedness: Emergency Management

**10. Program Overview, Objectives, and Priorities****a. *Overview***

The nation relies on emergency management programs and emergency managers to respond to a wide range of threats and hazards. Emergency management programs and emergency managers play an important role in leading state, local, tribal and territorial (SLTT) communities in an effective and unified manner before, during, and after a disaster. Emergency management programs and professionals also play an important role in supporting the National Preparedness Goal of a secure and resilient Nation by coordinating with the whole community to build and sustain the capabilities to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk. The EMBAG program reinforces FEMA mission of advancing all-hazards preparedness, consistent with the [Post-Katrina Emergency Management Reform Act of 2006 \(PKEMRA\)](#) and [Presidential Policy Directive 8 \(PPD-8\), National Preparedness](#). The EMBAG directly

supports the [DHS Strategic Plan Fiscal Years 2020-2024](#), Goal 5: Strengthen Preparedness and Resilience, Objective 5.1: Build a National Culture of Preparedness and Objective 5.2: Respond During Incidents, by supporting efforts that can help ensure that state, tribal, territorial, and local communities have accredited emergency management programs and certified emergency managers in place before an incident occurs. Over FY 2018-2020, the EMBAG helped 22 SLTT emergency management programs achieve accreditation and 60 SLTT emergency managers achieve certification.

As the [2022-2026 FEMA Strategic Plan](#), Objective 3.1 states, “Investing in readiness at all levels enables emergency managers to leverage state, local, tribal, territorial, and national resources as they coordinate within their community to create a more efficient, effective, and unified response.” The EMBAG program supports the 2022-2026 FEMA Strategic Plan through its support of national-level standards and assessment processes that emergency management programs and emergency managers can use to improve their preparedness capabilities to prevent, protect against, mitigate the effects of, respond to and recover from the threats and hazards that pose the greatest risk to the security of the nation. The full list of FEMA 2022-2026 FEMA Strategic Plan goals and objectives that the EMBAG supports are below:

<b>FEMA Strategic Plan Goal Name</b>	<b>FEMA Strategic Plan Objective Name</b>
<b>Goal 1</b> Instill Equity as a Foundation of Emergency Management	<b>Objective 1.2</b> Remove barriers to FEMA programs through a people first approach
	<b>Objective 1.3</b> Achieve equitable outcomes for those we serve
<b>Goal 2</b> Lead Whole of Community in Climate Resilience	<b>Objective 2.1</b> Increase climate literacy among the emergency management community
	<b>Objective 2.3</b> Empower risk-informed decision making
<b>Goal 3</b> Promote and Sustain a Ready FEMA and Prepared Nation	<b>Objective 3.1</b> Strengthen the emergency management workforce

The 9/11 Commission Report published in 2004 described efforts led by the American National Standards Institute (ANSI) to come to a consensus regarding a national standard for preparedness for the private sector. As a result of these efforts, ANSI recommended that the 9/11 Commission endorse a voluntary National Preparedness Standard. According to stakeholders noted in the report, “the experience of the private sector in the World Trade Center emergency demonstrated the need for these standards.”

Federal, state, local, tribal, and territorial and whole community partners in the emergency management community worked with each other and the Federal Emergency Management Agency (FEMA) to establish standards for emergency management both before and after 9/11, including for both emergency management programs and emergency managers. The

Emergency Management Accreditation Program (EMAP) and International Association of Emergency Managers (IAEM) played a critical role in these efforts.

EMAP and IAEM are the past recipients of the EMBAG. EMAP maintains a voluntary standards, assessment, and accreditation process for disaster preparedness programs, and it is the only known peer reviewed accreditation process for emergency management programs in the United States. IAEM owns the trademark registered Certified Emergency Manager (CEM)<sup>®</sup> program, which is a voluntary standards, assessment, and certification process for emergency managers and disaster response professionals from all levels of government, the private sector and volunteer organizations.

**b. Objectives**

The purpose of the FY 2023 EMBAG cooperative agreement is to support the use of national-level standards for emergency management to help ensure that SLTT communities have accredited emergency management programs and certified emergency managers in place before an incident occurs. To achieve this purpose, the EMBAG supports voluntary national-level standards and peer review assessment processes that communities can use to identify the capacity and shortfalls of their emergency management programs and emergency managers and develop a path to compliance with these standards. These national-level standards fall under “other assistance” called out under Section 503 (b)(2)(G) of the Homeland Security Act of 2002 to “build tribal, local, State, regional, and national capabilities...necessary to respond to a natural disaster, act of terrorism, or other man-made disaster.” See 6 U.S.C. § 313(b)(2)(G).

The EMBAG specifically supports:

1. Voluntary national-level standards and peer review assessment processes for emergency preparedness and response that are driven, established, validated, and revised through consensus.
2. The assessment of SLTT emergency management programs and emergency managers against national-level standards for emergency management.
3. Outreach and training to emergency management programs and emergency managers participating in EMBAG-funded activities.

The EMBAG program supports investment in national-level standards for emergency management that target critical functions necessary to prepare for and manage disasters, with the goal of supporting the following short, intermediate and long-term outcomes:

For state, local, tribal, and territorial emergency management program accreditation:

- In the short term (within two years), increased awareness of national-level standards and improved emergency management program staff understanding of functions of an effective program.
- In the intermediate term (two to four years), increased number of qualified programs in place before incidents occur; improved plans, policies and procedures; increased accreditations and first-time accreditations.
- In the long term (more than four years), increased capability of programs; improved national-level standards for program accreditation; and increased national preparedness.

For state, local, tribal, and territorial emergency manager certification:

- In the short term, increased awareness of national-level standards and improved emergency managers' understanding of how to effectively manage an emergency management program.
- In the intermediate term, increased number of qualified emergency managers in place before incidents occur; increased certifications and first-time certifications.
- In the long term, increased capability of emergency managers; improved national-level standards for emergency manager certification; and increased national preparedness.

To achieve these outcomes, the FY 2023 EMBAG program provides funding for two objectives, which together include two projects. These objectives, their projects, and detailed requirements for project activities are described in the table below. These objective projects are described in further detail in [Appendix F: Post-Award Requirements](#) of this funding notice.

<b>Objective 1: Supporting Emergency Management Program Accreditation</b>	
<b>Project</b>	<b>Requirements for Activities</b>
Conduct assessments on a volunteer basis for SLTT emergency management programs against national-level standards for emergency management.	<p>Efforts may include:</p> <ul style="list-style-type: none"> <li>• Conducting assessments against national-level standards for emergency management to accredit SLTT emergency management programs.</li> <li>• Maintaining and revising national-level standards used to accredit emergency management programs.</li> <li>• Maintaining a peer-review process and team of assessors to assess emergency management program adherence to the standards, including providing training for assessors for assessments supported by the EMBAG.</li> </ul> <p>Any national-level standards used to conduct assessments must align with the nine FEMA guidance resources identified in <a href="#">Appendix A</a>.</p>
<b>Objective 2: Supporting Emergency Manager Certification</b>	
<b>Project</b>	<b>Requirements for Activities</b>
Conduct assessments on a volunteer basis for state, local, tribal and territorial emergency managers against national-level standards and criteria.	<p>Efforts may include:</p> <ul style="list-style-type: none"> <li>• Conducting assessments against national-level standards for emergency managers to certify SLTT emergency managers.</li> <li>• Maintaining and revising national-level standards and criteria used to certify emergency managers' competence to manage emergency management programs.</li> <li>• Developing, maintaining, updating, and improving systems, policy and processes necessary to complete the objectives of the EMBAG, including maintaining systems, tools, and processes for certification candidate selection and records for certifications supported by the FY 2023 EMBAG.</li> </ul> <p>Any national-level standards used to conduct assessments must align with the nine FEMA guidance resources identified in <a href="#">Appendix A</a>.</p>



**c. *Priorities***

The FY 2023 EMBAG cooperative agreement supports continuing efforts to increase alignment between national-level standards and assessment processes for emergency management and FEMA doctrine and policy. These efforts ensure that emergency management programs and emergency managers receive consistent tools to help them respond to and recover from disasters. To this end, requirements for assessment review and alignment are summarized below and noted in full in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).

- Any assessment process supported by the EMBAG must include a review of the areas within an emergency management program referenced in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).
- Applicants must propose and provide support for the inclusion of the key considerations and practices of the Threat and Hazard Identification and Risk Assessment (THIRA) as part of the national-level standards for emergency management program accreditation.
- Applicants must also work to ensure these standards are aligned with the nine FEMA guidance resources identified in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).

Applicants are strongly encouraged to explore how EMBAG program-funded activities can, through assessment and accreditation, develop capability for emergency management programs and emergency managers to address the needs of underserved communities to help ensure consistent, systematic, fair, just and impartial treatment of all individuals before, during and after a disaster. To help ensure equity in all-hazards emergency preparedness, applicants are urged to consider the needs of socially vulnerable populations and involve representatives from the affected communities in the development and execution of proposed EMBAG program-funded projects to ensure their needs are sufficiently addressed, including through representation on panels to review and update standards.

Engaging the whole community requires all members of the community to be part of the emergency management team, including diverse community members, social and community service groups and institutions, faith-based and disability organizations, academia, professional associations, the private and nonprofit sectors, and government agencies that may not traditionally have been directly involved in emergency management. The whole community is inclusive of, but not limited to, children; older adults; individuals with disabilities and others with access and functional needs; those from religious, racial and ethnically diverse backgrounds; people with limited English proficiency; and owners of animals including household pets, service and assistance animals.

**11. Performance Measures**

The performance of the EMBAG is measured against the intended outcomes identified in the Objectives section of this funding notice. Applicants should refer to [Appendix B: Detail on EMBAG Performance Measurement](#) for additional information on these metrics, including guidance and a template for reporting.

<b>FY 2023 EMBAG Performance Metrics</b>	<b>Score</b>
<b>Objective 1: Supporting Emergency Management Program Accreditation</b>	
<u>Metric 1:</u> Percent of jurisdiction emergency management programs participating in assessments supported by the FY 2023 EMBAG that achieve national-level accreditation.	Percent
<u>Metric 2:</u> Percent of jurisdiction emergency management programs supported by the FY 2023 EMBAG that reported one or more aspects of their emergency management program improved as a result of the accreditation process and other support (training and assessments) received through the EMBAG.	Percent
<b>Objective 2: Supporting Emergency Manager Certification</b>	
<u>Metric 3:</u> Percent of emergency managers with certification supported by the FY 2023 EMBAG that achieve national-level certification.	Percent
<u>Metric 4:</u> Percent of emergency managers supported by the FY 2023 EMBAG that reported one or more aspects of their competence to manage an emergency management program improved as a part of the certification process and other support (training and assessments) received through the EMBAG.	Percent

## **B. Federal Award Information**

1. Available Funding for the NOFO: **\$1,500,000**

<b>EMBAG Objectives</b>	<b>FY 2023 Allocation</b>
Objective 1: Supporting Emergency Management Program Accreditation	\$ 1,000,000
Objective 2: Supporting Emergency Manager Certification	\$ 500,000
<b>Total</b>	<b>\$1,500,000</b>

2. Projected Number of Awards: **2**
3. Period of Performance: **12 Months**

Extensions to the period of performance are allowed. For additional information on period of performance extensions, please refer to Section H of this NOFO.

FEMA awards under most programs, including this program, only include one budget period, so it will be same as the period of performance. *See* 2 C.F.R. § 200.1 for definitions of “budget period” and “period of performance.”

4. Projected Period of Performance Start Date(s): **09/01/2023**
5. Projected Period of Performance End Date(s): **08/30/2024**
6. Funding Instrument Type: **Non-Competitive Cooperative Agreement**

Program authority and responsibility under this non-competitive cooperative agreement resides with FEMA for the purpose of carrying out a public purpose authorized by law and

not to acquire property or services for the federal government or passthrough entity's direct benefit or use as consistent with 2 C.F.R. § 200.1. FEMA retains the right to terminate all or part of the cooperative agreement in a manner consistent with 2 C.F.R. § 200.340 and may conduct site visits and monitoring throughout the period of performance.

FEMA will work with the recipient to develop and refine the details of executing this award, and provide technical assistance, including work plans, goals, objectives, performance metrics, timelines and objectives. In addition, FEMA may provide subject matter experts to plan, guide, or assist with projects. FEMA will define eligible and ineligible tasks to ensure that the program is effectively implemented. The recipient shall not develop or begin developing tasks not approved in the recipient's application without FEMA prior approval and issuance of an award amendment.

Throughout the period of performance of this cooperative agreement, FEMA will be substantially involved in the program implementation. Such involvement includes, but is not limited to, the following roles and responsibilities:

- A. Maintaining clear communications to ensure intended outcomes are achieved;
- B. Jointly developing the program management plan and program spending plan;
- C. Providing insight on data points that are of interest to FEMA in assessing and reporting on national preparedness;
- D. Supporting alignment of standards with FEMA guidance and policy and monitoring activities to improve alignment where necessary; and
- E. Providing technical assistance on how to perform the work, report progress, and provide programmatic guidance.

## **C. Eligibility Information**

### **1. Eligible Applicants**

Emergency Management Accreditation Program (EMAP) for the Emergency Management Accreditation Program

International Association of Emergency Managers (IAEM) for the Certified Emergency Manager Program.

See, [the Joint Explanatory Statement \(JES\) for the DHS Appropriations Act, 2023, \(Pub. L. No. 328\), at 63.](#)

### **2. Applicant Eligibility Criteria**

To receive funding under this program, recipient must carry out the Emergency Management Accreditation Program or the Certified Emergency Manager Program as identified in the DHS 2023 Joint Explanatory Statement appropriations language.

### **3. Cost Share or Match**

A Cost Share or Match is not required; applications will not receive higher scores for Cost Share or Match.

## **D. Application and Submission Information**

### **1. Key Dates and Times**

- a. *Application Start Date:* **07/05/2023**
- b. *Application Submission Deadline:* **08/04/2023 at 05:00:00 PM ET**

All applications **must** be received by the established deadline.

FEMA’s Grants Outcomes System (FEMA GO) automatically records proof of timely submission and the system generates an electronic date/time stamp when FEMA GO successfully receives the application. The individual with the Authorized Organization Representative role that submitted the application will also receive the official date/time stamp and a FEMA GO tracking number in an email serving as proof of their timely submission. For additional information on how an applicant will be notified of application receipt, see the subsection titled “Timely Receipt Requirements and Proof of Timely Submission” in Section D of this NOFO.

**FEMA will not review applications that are received after the deadline or consider these late applications for funding.** FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant’s control that prevent submission of the application by the deadline, other exigent or emergency circumstances, or statutory requirements for FEMA to make an award.

**Applicants experiencing technical problems outside of their control must notify FEMA as soon as possible and before the application deadline.** Failure to timely notify FEMA of the issue that prevented the timely filing of the application may preclude consideration of the award. “Timely notification” of FEMA means the following: prior to the application deadline and within 48 hours after the applicant became aware of the issue.

A list of FEMA contacts can be found in Section G of this NOFO, “DHS Awarding Agency Contact Information.” For technical assistance with the FEMA GO system, please contact the FEMA GO Helpdesk at [femago@fema.dhs.gov](mailto:femago@fema.dhs.gov) or (877) 611-4700, Monday through Friday, 9:00 AM – 6:00 PM Eastern Time (ET). For programmatic or grants management questions, please contact your Program Analyst or Grants Management Specialist. If applicants do not know who to contact or if there are programmatic questions or concerns, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9:00 AM – 5:00 PM ET.

- c. *Anticipated Funding Selection Date:* No later than 8/05/2023
- d. *Anticipated Award Date:* No later than 8/31/2023

e. **Other Key Dates**

<b>Event</b>	<b>Suggested Deadline for Completion</b>
Initial registration in SAM.gov includes UEI issuance	Four weeks before actual submission deadline
Obtaining a valid Employer Identification Number (EIN)	Four weeks before actual submission deadline
Creating an account with login.gov	Four weeks before actual submission deadline
Registering in SAM or Updating SAM registration	Four weeks before actual submission deadline
Registering in FEMA GO	Four weeks before actual submission deadline
Submitting the final application in FEMA GO	By the submission deadline

**2. Agreeing to Terms and Conditions of the Award**

By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

**3. Address to Request Application Package**

Applications are processed through the FEMA GO system. To access the system, go to <https://go.fema.gov/>.

Hard copies of the NOFO can be downloaded at [Grants.gov](https://www.grants.gov/) or obtained via email from the Awarding Office points of contact listed in Section G of this NOFO, “DHS Awarding Agency Contact Information” or by TTY (800) 462-7585.

**4. Requirements: Obtain a Unique Entity Identifier (UEI) and Register in the System for Award Management (SAM)**

Each applicant, unless they have a valid exception under 2 CFR 25.110, must:

- 1) Be registered in Sam.Gov before application submission.
- 2) Provide a valid Unique Entity Identifier (UEI) in its application.
- 3) Continue to always maintain an active System for Award Management (SAM) registration with current information during the Federal Award process.

**5. Steps Required to Obtain a Unique Entity Identifier, Register in the System for Award Management (SAM), and Submit an Application**

Applying for an award under this program is a multi-step process and requires time to complete. Applicants are encouraged to register early as the registration process can take four weeks or more to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

Please review the table above for estimated deadlines to complete each of the steps listed. Failure of an applicant to comply with any of the required steps before the deadline for submitting an application may disqualify that application from funding.

To apply for an award under this program, all applicants must:

- a. Apply for, update, or verify their Unique Entity Identifier (UEI) number and Employer Identification Number (EIN) from the Internal Revenue Service;
- b. In the application, provide an UEI number;
- c. Have an account with [login.gov](https://login.gov);
- d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
- e. Register in FEMA GO, add the organization to the system, and establish the Authorized Organizational Representative (AOR). The organization's electronic business point of contact (EBiz POC) from the SAM registration may need to be involved in this step. For step-by-step instructions, see <https://www.fema.gov/media-library/assets/documents/181607>;
- f. Submit the complete application in FEMA GO; and
- g. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency. As part of this, applicants must also provide information on an applicant's immediate and highest-level owner and subsidiaries, as well as on all predecessors that have been awarded federal contracts or federal financial assistance within the last three years, if applicable.

Applicants are advised that FEMA may not make a federal award until the applicant has complied with all applicable SAM requirements. Therefore, an applicant's SAM registration must be active not only at the time of application, but also during the application review period and when FEMA is ready to make a federal award. Further, as noted above, an applicant's or recipient's SAM registration must remain active for the duration of an active federal award. If an applicant's SAM registration is expired at the time of application, expires during application review, or expires any other time before award, FEMA may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Per 2 C.F.R. § 25.110(c)(2)(iii), if an applicant is experiencing exigent circumstances that prevents it from obtaining an UEI number and completing SAM registration prior to receiving a federal award, the applicant must notify FEMA as soon as possible by contacting [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov) and providing the details of the circumstances that prevent completion of these requirements. If FEMA determines that there are exigent circumstances and FEMA has decided to make an award, the applicant will be required to obtain an UEI number, if applicable, and complete SAM registration within 30 days of the federal award date.

## 6. Electronic Delivery

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires applicants to submit their applications online through Grants.gov, depending on the funding opportunity.

For this funding opportunity, FEMA requires applicants to submit applications through FEMA GO.

## 7. How to Register to Apply

### a. *General Instructions:*

Registering and applying for an award under this program is a multi-step process and requires time to complete. Read the instructions below about registering to apply for FEMA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

**The registration process can take up to four weeks to complete.** To ensure an application meets the deadline, applicants are advised to start the required steps well in advance of their submission.

Organizations must have an UEI number, an EIN, an active System for Award Management (SAM) registration and Grants.gov account to apply for grants.

### b. *Obtain an UEI Number:*

All entities applying for funding, including renewal funding, prior to April 4, 2022, must have a UEI number. Applicants must enter the UEI number in the applicable data entry field on the SF-424 form.

For more detailed instructions for obtaining a UEI number, refer to: [Sam.gov](https://sam.gov).

### c. *Obtain Employer Identification Number*

All entities applying for funding must provide an Employer Identification Number (EIN). The EIN can be obtained from the IRS by visiting: <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

### d. *Create a login.gov account:*

Applicants must have a login.gov account in order to register with SAM or update their SAM registration. Applicants can create a login.gov account here: [https://secure.login.gov/sign\\_up/enter\\_email?request\\_id=34f19fa8-14a2-438c-8323-a62b99571fd3](https://secure.login.gov/sign_up/enter_email?request_id=34f19fa8-14a2-438c-8323-a62b99571fd3).

Applicants only have to create a login.gov account once. For applicants that are existing SAM users, use the same email address for the login.gov account as with SAM.gov so that the two accounts can be linked.

For more information on the login.gov requirements for SAM registration, refer to: <https://www.sam.gov/SAM/pages/public/loginFAQ.jsf>.

### e. *Register with SAM:*



All organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. Organizations will be issued a UEI number with the completed SAM registration.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

Note: As a new requirement per 2 C.F.R. § 25.200, applicants must also provide the applicant's immediate and highest-level owner, subsidiaries, and predecessors that have been awarded federal contracts or federal financial assistance within the last three years, if applicable.

#### I. ADDITIONAL SAM REMINDERS

Existing SAM.gov account holders should check their account to make sure it is "ACTIVE." SAM registration should be completed at the very beginning of the application period and should be renewed annually to avoid being "INACTIVE." **Please allow plenty of time before the grant application submission deadline to obtain a UEI number and then to register in SAM. It may be four weeks or more after an applicant submits the SAM registration before the registration is active in SAM, and then it may be an additional 24 hours before FEMA's system recognizes the information.**

It is imperative that the information applicants provide is correct and current. Please ensure that your organization's name, address, and EIN are up to date in SAM and that the UEI number used in SAM is the same one used to apply for all other FEMA awards. Payment under any FEMA award is contingent on the recipient's having a current SAM registration.

#### II. HELP WITH SAM

The SAM quick start guide for new recipient registration and SAM video tutorial for new applicants are tools created by the General Services Administration (GSA) to assist those registering with SAM. If applicants have questions or concerns about a SAM registration, please contact the Federal Support Desk at <https://www.fsd.gov/fsd-gov/home.do> or call toll free (866) 606-8220.

#### f. *Register in FEMA GO, Add the Organization to the System, and Establish the AOR:*

Applicants must register in FEMA GO and add their organization to the system. The organization's electronic business point of contact (EBiz POC) from the SAM registration may need to be involved in this step. For step-by-step instructions, see <https://www.fema.gov/media-library/assets/documents/181607>.

Note: FEMA GO will support only the most recent major release of the following browsers:

- Google Chrome
- Internet Explorer
- Mozilla Firefox
- Apple Safari



- Microsoft Edge

Users who attempt to use tablet type devices or other browsers may encounter issues with using FEMA GO.

## **8. Submitting the Application**

Applicants will be prompted to submit the standard application information and any program-specific information required as described in Section D.10 of this NOFO, “Content and Form of Application Submission.” The Standard Forms (SF) may be accessed in the Forms tab under the [SF-424 family on Grants.gov](#). Applicants should review these forms before applying to ensure they have all the information required.

After submitting the final application, FEMA GO will provide either an error message or a successfully received transmission in the form of an email sent to the AOR that submitted the application. Applicants using slow internet connections, such as dial-up connections, should be aware that transmission can take some time before FEMA GO receives your application.

For additional application submission requirements, including program-specific requirements, please refer to the subsection titled “Content and Form of Application Submission” under [Section D](#) of this NOFO and [Appendix D: Project Narrative Instructions](#).

## **9. Timely Receipt Requirements and Proof of Timely Submission**

All applications must be completed in FEMA GO by the application deadline. FEMA GO automatically records proof of timely submission and the system generates an electronic date/time stamp when FEMA GO successfully receives the application. The individual with the Authorized Organization Representative (AOR) role that submitted the application will also receive the official date/time stamp and a FEMA GO tracking number in an email serving as proof of their timely submission on the date and time that FEMA GO received the application.

**Applicants who experience system-related issues will be addressed until 3:00 PM ET on the date applications are due.** No new system-related issues will be addressed after this deadline. Applications not received by the application submission deadline will not be accepted.

## 10. Content and Form of Application Submission

### a. *Standard Required Application Forms and Information*

The following forms or information are required to be submitted via FEMA GO. The Standard Forms (SF) are also available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>.

- **SF-424, Application for Federal Assistance**
- **Grants.gov Lobbying Form, Certification Regarding Lobbying**
- **SF-424A, Budget Information (Non-Construction)**
- **SF-424B, Standard Assurances (Non-Construction)**
- **SF-LLL, Disclosure of Lobbying Activities**
- **Indirect Cost Agreement or Proposal** if the budget includes indirect costs and the applicant is required to have an indirect cost rate agreement or proposal. If the applicant does not have or is not required to have an indirect cost rate agreement or proposal, please see Section D.13 of this NOFO, “Funding Restrictions and Allowable Costs,” for further information regarding allowability of indirect costs and whether alternatives to an indirect cost rate agreement or proposal might be available, or contact the relevant FEMA staff identified in Section G of this NOFO, “DHS Awarding Agency Contact Information” for further instructions.

### b. *Program-Specific Required Forms and Information*

EMBAG-specific application instructions for proposal submission are included in [Appendix D: Project Narrative Instructions](#).

## 11. Other Submission Requirements

None.

## 12. Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state’s Single Point of Contact (SPOC) to comply with the state’s process under Executive Order 12372 (See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; [www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf](http://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf)).

## 13. Funding Restrictions and Allowable Costs

All costs charged to awards covered by this NOFO must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 C.F.R. Part 200, unless otherwise indicated in the NOFO, or the terms and conditions of the award. This includes, among other requirements, that costs must be incurred, and products and services must be delivered, within the period of performance of the award. *See* 2 C.F.R. § 200.403(h) (referring to budget periods, which for FEMA awards is the same as the period of performance).

In general, the Cost Principles establish standards for the allowability of costs, provide detailed guidance on the cost accounting treatment of costs as direct or administrative costs, and set forth allowability principles for selected items of cost. More specifically, except as otherwise stated in this NOFO, the terms and condition of an award, or other program materials, costs charged to awards covered by this NOFO must be consistent with the Cost

Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E. In order to be allowable, all costs charged to a FEMA award or applied to the cost share must be reasonable in nature and amount and allocable to the particular FEMA award.

Additionally, all costs charged to awards must comply with the grant program's applicable statutes, policies, requirements in this NOFO as well as with the terms and conditions of the award. If FEMA staff identify costs that are inconsistent with any of these requirements, these costs may be disallowed, and FEMA may recover funds as appropriate, consistent with applicable laws, regulations, and policies.

As part of those requirements, grant recipients and subrecipients may only use federal funds or funds applied to a cost share for the purposes set forth in this NOFO and the terms and conditions of the award, and those costs must be consistent with the statutory authority for the award.

Grant funds may not be used for matching funds for other federal grants/cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity.

Recipients are also expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

Program-specific post-award instructions are included in [Appendix F: Post-Award Requirements](#).

**a. *Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services***

Recipients and subrecipients of FEMA federal financial assistance are subject to the prohibitions described in section 889 of the [John S. McCain National Defense Authorization Act for Fiscal Year 2019 \(FY 2019 NDAA\)](#), Pub. L. No. 115-232 (2018) and 2 C.F.R. §§ 200.216, 200.327, 200.471, and Appendix II to 2 C.F.R. Part 200. Beginning August 13, 2020, the statute – as it applies to FEMA recipients, subrecipients, and their contractors and subcontractors – prohibits obligating or expending federal award funds on certain telecommunications and video surveillance products and contracting with certain entities for national security reasons.

Guidance is available at [FEMA Policy #405-143-1 - Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services](#)

Additional guidance is available at [Contract Provisions Guide: Navigating Appendix II to Part 200 - Contract Provisions for Non-Federal Entity Contracts Under Federal Awards \(fema.gov\)](#).

**Effective August 13, 2020**, FEMA recipients and subrecipients **may not** use any FEMA funds under open or new awards to:

1. Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system;
2. Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system; or
3. Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

#### **I. DEFINITIONS**

Per section 889(f)(2)-(3) of the FY 2019 NDAA and 2 C.F.R. § 200.216, covered telecommunications equipment or services means:

- i. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation, (or any subsidiary or affiliate of such entities);
- ii. For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
- iii. Telecommunications or video surveillance services provided by such entities or using such equipment; or
- iv. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the People’s Republic of China.

Examples of the types of products covered by this prohibition include phones, internet, video surveillance, and cloud servers when produced, provided, or used by the entities listed in the definition of “covered telecommunications equipment or services.” *See* 2 C.F.R. § 200.471.

#### **b. Pre-Award Costs**

Pre-award costs **are NOT** allowable.

#### **c. Management and Administration (M&A) Costs**

M&A activities are those directly relating to the management and administration of the EMBAG funds, such as financial management and monitoring. M&A costs are not operational costs. They are the necessary costs incurred in direct support of the grant or as a result of the grant and should be allocated across the entire lifecycle of the grant. Recipients may retain a maximum of 5% of EMBAG funds awarded for M&A purposes associated with the EMBAG award.

**d. *Indirect Facilities & Administrative (F&A) Costs***

Indirect costs are allowable under this program as described in 2 C.F.R. Part 200, including 2 C.F.R. § 200.414. Applicants with a current negotiated indirect cost rate agreement that desire to charge indirect costs to an award must provide a copy of their negotiated indirect cost rate agreement at the time of application. Not all applicants are required to have a current negotiated indirect cost rate agreement. Applicants that are not required by 2 C.F.R. Part 200 to have a negotiated indirect cost rate agreement but are required by 2 C.F.R. Part 200 to develop an indirect cost rate proposal must provide a copy of their proposal at the time of application. Applicants who do not have a current negotiated indirect cost rate agreement (including a provisional rate) and wish to charge the de minimis rate must reach out to the FEMA Program Analyst and Grants Management Specialist for further instructions. Applicants who wish to use a cost allocation plan in lieu of an indirect cost rate must also reach out to the FEMA Program Analyst and Grants Management Specialist for further instructions.

**e. *Other Direct Costs***

Please note that [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice contains additional information on direct costs allowed and not allowed under this program.

*Planning*

Planning-related costs **are allowed** under this program only as described in this notice. Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice for additional information.

*Organization*

Organization-related costs **are NOT allowed** under this program.

*Equipment*

Equipment costs **are NOT allowed** under this program.

*Training*

Training-related costs **are allowed** under this program only as described in this funding notice. Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice for additional information.

*Exercises*

Exercise-related costs **are allowed** under this program only as described in this notice. Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice for additional information.

*Personnel*

Personnel costs **are allowed** under this program for the applicant only as described in this notice, with the following exceptions:

Hiring additional personnel to complete the process of peer review **is NOT allowed**.

Contract and consulting costs **are allowed** for management of grant awards.

Contract and consulting costs **are NOT allowed** for providing subject-matter expertise on the FY 2023 EMBAG Objectives.

Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice for additional information.

#### *Travel*

Domestic travel costs **are allowed** under this program only as described in this notice.

International travel **is NOT allowed** under this program.

Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this notice for additional information.

#### *Construction and Renovation*

Construction and renovation costs **are NOT allowed** under this program.

#### *Evaluation*

- Evaluation-related costs **are allowed** costs (either as direct or indirect) under this program. Evaluations must adhere to federal evaluation standards as described in [OMB Memorandum M-20-12](#), and to widely accepted scientific principles. Evaluation-related costs include planning and conducting assessments of project activities and the interpretation and reporting of findings.
- Applicants are encouraged to discuss how they will collect data on rural and underserved communities participating in FY 2023 EMBAG-funded activities, since they may be required to report on this in FY 2024.
- An evaluation that examines the extent to which recipient project activities have achieved the intended grant outcomes (see Program Objectives in [Section A](#) of this NOFO) would be considered an allowable activity.
- Additional examples of allowable evaluation-related activities include:
  - Identifying and tracking outputs and outcomes resulting from EMBAG-funded activities
  - Documenting performance metrics and raw data.
  - Developing a process for implementing lessons learned and best practices, for example:
    - Developing, maintaining, updating and publishing emergency management best practices factsheets.
    - Maintaining a publicly available best practices clearinghouse, including solicitation and review of research summaries for publication.
  - Analyzing any factors impacting tribal and territorial emergency management program and professionals' participation in activities supported by the EMBAG.

- Collecting data and evaluating how the employers of emergency managers benefit from the certification of their employees through the EMBAG.

Please refer to Program Evaluation in [Section H](#) of this NOFO for additional information.

## **E. Application Review Information**

### **1. Application Evaluation Criteria**

#### **a. *Programmatic Criteria***

Applicants must meet the Eligibility Criteria in [Section C: Eligibility Information](#) of this NOFO.

Applications must conform with the guidance provided in this section, [Section D: Application and Submission Information](#), and [Appendix D: Project Narrative Instructions](#).

FY 2023 EMBAG applications will also be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed project. Only the applicant may submit an application.

Instructions for the Project Narrative that applicants must submit as part of their application are in [Appendix D: Project Narrative Instructions](#).

#### **b. *Financial Integrity Criteria***

Prior to making a federal award, FEMA is required by 31 U.S.C. § 3354, as enacted by the Payment Integrity Information Act of 2019, Pub. L. No. 116-117 (2020); 41 U.S.C. § 2313; and 2 C.F.R. § 200.206 to review information available through any Office of Management and Budget (OMB)-designated repositories of governmentwide eligibility qualification or financial integrity information, including whether the applicant is suspended or debarred. FEMA may also pose additional questions to the applicant to aid in conducting the pre-award risk review. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

- Financial stability.
- Quality of management systems and ability to meet management standards.
- History of performance in managing federal award.
- Reports and findings from audits.
- Ability to effectively implement statutory, regulatory, or other requirements.

#### **c. *Supplemental Financial Integrity Criteria and Review***

Prior to making a federal award where the anticipated total federal share will be greater than the simplified acquisition threshold, currently \$250,000:

- FEMA is required to review and consider any information about the applicant, including information on the applicant's immediate and highest-level owner, subsidiaries, and predecessors, if applicable, that is in the designated integrity and performance system accessible through the System for Award Management (SAM), which is currently the [Federal Awardee Performance and Integrity Information System](#) (FAPIIS).



- ii. An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- iii. FEMA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206.

## 2. Review and Selection Process

### Initial Eligibility Review

Prior to application consideration, FEMA will conduct an initial review of all applications to verify applicant eligibility and ensure each application is complete, meaning that it contains all of the necessary information and materials, was submitted on time, and meets all requirements outlined in the funding notice. FEMA will not process incomplete applications for further review and will not consider them for funding. All eligible and complete applications will progress to the applicable FEMA program office for further review. FEMA staff will review the following during the eligibility screening:

- The applicant is an eligible organization as defined under the Eligible Applicants header of [Section C: Eligibility Information](#) of this NOFO. Applicants must conform to all criteria described in [Section C](#) in order to be eligible for this funding opportunity.
- The applicant has submitted all required assurances and standard forms.
- The application complies with the Application Submission information presented in [Section D: Application and Submission Information](#) and [Appendix D: Project Narrative Instructions](#), and:
  - Application includes a Project Narrative that aligns with the format requirements specified in [Appendix D: Project Narrative Instructions](#).
  - Application includes a Budget Detail Worksheet ([Appendix E: Budget Detail Worksheet Template](#)).

### Review and Selection Process

FEMA will review the submitted application for completeness and compliance with all application requirements. The application will be evaluated and selected for funding based on the following factors:

1. The applicant's proposed projects and activities are compatible with and support the EMBAG's priorities, objectives, and requirements.
2. The applicant's proposed costs are complete, reasonable, and cost-effective in relation to proposed EMBAG-supported projects and activities.

The Deputy Administrator of FEMA for Resilience, on behalf of the Administrator, will approve or disapprove the final funding determinations.



### Required Application Contents

Applicants must present the contents of the Project Narrative in their application using the following arrangement. Applicants should refer to [Appendix D: Project Narrative Instructions](#) for additional details.

- Background
- Project Plan
- Impact
- Budget

Applicants should not include any Classified or Law Enforcement Sensitive information in their applications for this program.

## **F. Federal Award Administration Information**

### **1. Notice of Award**

Before accepting the award, the Authorized Organization Representative (AOR) and recipient should carefully read the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under federal awards. **Recipients must accept all conditions in this NOFO as well as any specific terms and conditions in the Notice of Award to receive an award under this program.**

FEMA will provide the federal award package to the applicant electronically via FEMA GO. Award packages include an Award Letter, Summary Award Memo, Agreement Articles, and Obligating Document. An email notification of the award package will be sent through FEMA's grant application system to the AOR that submitted the application.

Recipients must accept their awards no later than 60 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award through the FEMA GO system.

Funds will remain on hold until the recipient accepts the award through the FEMA GO system and all other conditions of the award have been satisfied or until the award is otherwise rescinded. Failure to accept a grant award within the specified timeframe may result in a loss of funds.

### **2. Administrative and National Policy Requirements**

In addition to the requirements of in this section and in this NOFO, FEMA may place specific terms and conditions on individual awards in accordance with 2 C.F.R. Part 200.

#### **a. *DHS Standard Terms and Conditions***

All successful applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

**b. *Ensuring the Protection of Civil Rights***

As the Nation works towards achieving the [National Preparedness Goal](#), it is important to continue to protect the civil rights of individuals. Recipients and subrecipients must carry out their programs and activities, including those related to the building, sustainment, and delivery of core capabilities, in a manner that respects and ensures the protection of civil rights for protected populations.

Federal civil rights statutes, such as Section 504 of the Rehabilitation Act of 1973 and Title VI of the Civil Rights Act of 1964, along with FEMA regulations, prohibit discrimination on the basis of race, color, national origin, sex, religion, age, disability, limited English proficiency, or economic status in connection with programs and activities receiving [federal financial assistance](#) from FEMA.

The DHS Standard Terms and Conditions include a fuller list of the civil rights provisions that apply to recipients. These terms and conditions can be found in the [DHS Standard Terms and Conditions](#). Additional information on civil rights provisions is available at <https://www.fema.gov/about/offices/equal-rights/civil-rights>.

Monitoring and oversight requirements in connection with recipient compliance with federal civil rights laws are also authorized pursuant to 44 C.F.R. Part 7.

In accordance with civil rights laws and regulations, recipients and subrecipients must ensure the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment.

**c. *Environmental Planning and Historic Preservation (EHP) Compliance***

As a federal agency, FEMA is required to consider the effects of its actions on the environment and historic properties to ensure that all activities and programs funded by FEMA, including grant-funded projects, comply with federal EHP laws, Executive Orders, regulations, and policies, as applicable.

All non-critical new construction or substantial improvement of structures in a Special Flood Hazard Area must, at a minimum, apply the flood elevations of the Federal Flood Risk Management Standard's Freeboard Value Approach unless doing so would cause the project to be unable to meet applicable program cost-effectiveness requirements. All other types of projects may choose to apply the flood elevations of the Federal Flood Risk Management Standard's Freeboard Value Approach. See [Executive Order \(EO\) 14030, Climate-Related Financial Risk](#) and [FEMA Policy #-206-21-0003, Partial Implementation of the Federal Flood Risk Management Standard for Hazard Mitigation Assistance Programs \(Interim\)](#) ([fema.gov](https://www.fema.gov)).

**Recipients and subrecipients proposing projects that have the potential to impact the environment, including, but not limited to, the construction of communication towers,**

**modification or renovation of existing buildings, structures, and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process.** The EHP review process involves the submission of a detailed project description along with any supporting documentation requested by FEMA in order to determine whether the proposed project has the potential to impact environmental resources or historic properties.

In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. Federal law requires EHP review to be completed before federal funds are released to carry out proposed projects. FEMA may not be able to fund projects that are not in compliance with applicable EHP laws, Executive Orders, regulations, and policies.

DHS and FEMA EHP policy is found in directives and instructions available on the [FEMA.gov EHP page](#), the FEMA website page that includes documents regarding EHP responsibilities and program requirements, including implementation of the National Environmental Policy Act and other EHP regulations and Executive Orders. Individual FEMA programs have separate procedures to conduct and document EHP review. Guidance for individual grant programs is available from applicable program offices.

### 3. Reporting

Recipients are required to submit various financial and programmatic reports as a condition of award acceptance. Future awards and funds drawdown may be withheld if these reports are delinquent.

#### a. *Financial Reporting Requirements*

##### I. FEDERAL FINANCIAL REPORT (FFR)

Recipients must report obligations and expenditures through the FFR form (SF-425) to FEMA.

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>

Recipients must file the FFR electronically using FEMA GO.

##### II. FFR REPORTING PERIODS AND DUE DATES

An FFR must be submitted quarterly throughout the POP, including partial calendar quarters, as well as in periods where no grant award activity occurs. The final FFR is due within 120 calendar days after the end of the POP. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Except for the final FFR due at 120 days after the end of the POP for purposes of closeout, the following reporting periods and due dates apply for the FFR:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

**b. Programmatic Performance Reporting Requirements**

**I. PERFORMANCE PROGRESS REPORT (PPR)**

Recipients are responsible for uploading performance reports to FEMA on a quarterly basis. FEMA will use these reports to monitor progress for the grant award. The report is due within 30 calendar days after the end of the reporting period. Recipients must submit the report as an attachment to the FEMA GO system. For more information about performance reporting requirements, please refer to the table under the 1. Post-Award Programmatic Reporting and Other Communication Requirements header in [Appendix F: Post-Award Requirements](#).

Performance Reporting Periods and Due Dates

The following reporting periods and due dates apply for the quarterly performance reports:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

**II. ADDITIONAL PROGRAMMATIC REPORTING REQUIREMENTS**

For additional details regarding requirements for Performance Progress Reports, additional program reporting, and other post-award requirements, please refer to [Appendix F: Post-Award Requirements](#).

**c. Closeout Reporting Requirements**

**I. CLOSEOUT REPORTING**

Within 120 calendar days after the end of the period of performance for the prime award or after an amendment has been issued to close out an award before the original POP ends, recipients must liquidate all financial obligations and must submit the following:

- i. The final request for payment, if applicable.
- ii. The final FFR (SF-425).

- iii. The final progress report detailing all accomplishments, including a narrative summary of the impact of those accomplishments throughout the period of performance.
- iv. The final performance metric scores, raw data, and documentation of how scores were calculated.
- vii. Copies of all baseline assessment reports funded by the FY 2023 EMBAG, if applicable.
- viii. The final annual assessment report, if applicable.
- ix. The final annual certification report, if applicable.
- x. Other documents required by this NOFO, terms and conditions of the award, or other FEMA guidance.

In addition, pass-through entities are responsible for closing out their subawards as described in 2 C.F.R. § 200.344; subrecipients are still required to submit closeout materials within 90 calendar days of the period of performance end date. When a subrecipient completes all closeout requirements, pass-through entities must promptly complete all closeout actions for subawards in time for the recipient to submit all necessary documentation and information to FEMA during the closeout of the prime award.

After the prime award closeout reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for at least three years from the date of the final FFR. The record retention period may be longer, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.334.

The recipient is responsible for refunding to FEMA any balances of unobligated cash that FEMA paid that are not authorized to be retained per 2 C.F.R. § 200.344(d).

## **II. ADMINISTRATIVE CLOSEOUT**

Administrative closeout is a mechanism for FEMA to unilaterally move forward with closeout of an award using available award information in lieu of final reports from the recipient per 2 C.F.R. § 200.344(h)-(i). It is a last resort available to FEMA, and if FEMA needs to administratively close an award, this may negatively impact a recipient's ability to obtain future funding. This mechanism can also require FEMA to make cash or cost adjustments and ineligible cost determinations based on the information it has, which may result in identifying a debt owed to FEMA by the recipient.

When a recipient is not responsive to FEMA's reasonable efforts to collect required reports needed to complete the standard closeout process, FEMA is required under 2 C.F.R. § 200.344(h) to start the administrative closeout process within the regulatory timeframe. FEMA will make at least three written attempts to collect required reports before initiating administrative closeout. If the recipient does not submit all required reports in accordance with 2 C.F.R. § 200.344, this NOFO, and the terms and conditions of the award, FEMA must proceed to administratively close the award with the information available within one year of

the period of performance end date. Additionally, if the recipient does not submit all required reports within one year of the period of performance end date, per 2 C.F.R. § 200.344(i), FEMA must report in FAPIIS the recipient's material failure to comply with the terms and conditions of the award.

If FEMA administratively closes an award where no final FFR has been submitted, FEMA uses that administrative closeout date in lieu of the final FFR submission date as the start of the record retention period under 2 C.F.R. § 200.334.

In addition, if an award is administratively closed, FEMA may decide to impose remedies for noncompliance per 2 C.F.R. § 200.339, consider this information in reviewing future award applications, or apply special conditions to existing or future awards.

**d. *Additional Reporting Requirements***

**I. DISCLOSING INFORMATION PER 2 C.F.R. § 180.335**

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with FEMA, the recipient must notify FEMA if it knows if it or any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335:

- i. Are presently excluded or disqualified;
- ii. Have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or any of the recipient's principals for one of those offenses within that time period;
- iii. Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or
- iv. Have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

At any time after accepting the award, if the recipient learns that it or any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to FEMA in accordance with 2 C.F.R. § 180.350.

**II. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE**

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity.

Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

**III. SINGLE AUDIT REPORT**

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report, also known as the single audit report.

The audit must be performed in accordance with the requirements of U.S. Government Accountability Office's (GAO) Government Auditing Standards, located at <https://www.gao.gov/yellowbook/overview>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

## **5. Monitoring and Oversight**

Per 2 C.F.R. § 200.337, FEMA, through its authorized representatives, has the right, at all reasonable times, to make site visits or conduct desk reviews to review project accomplishments and management control systems to review award progress and to provide any required technical assistance. During site visits or desk reviews, FEMA will review recipients' files related to the award. As part of any monitoring and program evaluation activities, recipients must permit FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to FEMA requests for information relating to the award.

Effective monitoring and oversight help FEMA ensure that recipients use grant funds for their intended purpose(s); verify that projects undertaken are consistent with approved plans; and ensure that recipients make adequate progress toward stated goals and objectives. Additionally, monitoring serves as the primary mechanism to ensure that recipients comply with applicable laws, rules, regulations, program guidance, and requirements. FEMA regularly monitors all grant programs both financially and programmatically in accordance with federal laws, regulations (including 2 C.F.R. Part 200), program guidance, and the terms and conditions of the award. All monitoring efforts ultimately serve to evaluate progress towards grant goals and proactively target and address issues that may threaten grant success during the period of performance.

FEMA staff will periodically monitor recipients to ensure that administrative processes, policies and procedures, budgets, and other related award criteria are meeting Federal Government-wide and FEMA regulations. Aside from reviewing quarterly financial and programmatic reports, FEMA may also conduct enhanced monitoring through either desk-based reviews, onsite monitoring visits, or both. Enhanced monitoring will involve the review and analysis of the financial compliance and administrative processes, policies, activities, and other attributes of each federal assistance award, and it will identify areas where the recipient may need technical assistance, corrective actions, or other support.

Financial and programmatic monitoring are complementary processes within FEMA's overarching monitoring strategy that function together to ensure effective grants management, accountability, and transparency; validate progress against grant and program goals; and safeguard federal funds against fraud, waste, and abuse. Financial monitoring primarily focuses on statutory and regulatory compliance with administrative grant requirements, while programmatic monitoring seeks to validate and assist in grant progress,



targeting issues that may be hindering achievement of project goals and ensuring compliance with the purpose of the grant and grant program. Both monitoring processes are similar in that they feature initial reviews of all open awards, and additional, in-depth monitoring of grants requiring additional attention.

Recipients and subrecipients who are pass-through entities are responsible for monitoring their subrecipients in a manner consistent with the terms of the federal award at 2 C.F.R. Part 200, including 2 C.F.R. § 200.332. This includes the pass-through entity's responsibility to monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.

In terms of overall award management, recipient and subrecipient responsibilities include, but are not limited to: accounting of receipts and expenditures, cash management, maintaining adequate financial records, reporting and refunding expenditures disallowed by audits, monitoring if acting as a pass-through entity, or other assessments and reviews, and ensuring overall compliance with the terms and conditions of the award or subaward, as applicable, including the terms of 2 C.F.R. Part 200.

## **G. DHS Awarding Agency Contact Information**

### **1. Contact and Resource Information**

#### **a. *Program Office Contact***

The Evaluation and Analysis Division (EAD) in the Office of Resilience Strategy (ORS) maintains programmatic responsibility for the EMBAG. Please reach out to the EMBAG Program Manager Madeline Clark by phone at (202) 568-4257 between the hours of 9:00 a.m. – 3:00 p.m. E.T. Monday through Friday or email ([madeline.clark@fema.dhs.gov](mailto:madeline.clark@fema.dhs.gov)) for additional information. The additional Program Office point of contact is EAD Branch Chief Amanda Snook, who can be reached by phone at (202) 657-7213 between the hours of 9:00 a.m. – 3:00 p.m. E.T. Monday through Friday or email ([amanda.snook@fema.dhs.gov](mailto:amanda.snook@fema.dhs.gov)).

#### **b. *Centralized Scheduling and Information Desk (CSID)***

CSID is a non-emergency comprehensive management and information resource developed by FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9:00 AM – 5:00 PM ET.

#### **c. *Grant Programs Directorate (GPD) Award Administration Division***

GPD's Award Administration Division (AAD) provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the AAD's Help Desk via e-mail at [ASK-GMD@fema.dhs.gov](mailto:ASK-GMD@fema.dhs.gov).

#### **d. *Equal Rights***



The FEMA Office of Equal Rights (OER) is responsible for compliance with and enforcement of federal civil rights obligations in connection with programs and services conducted by FEMA and recipients of FEMA financial assistance. All inquiries and communications about federal civil rights compliance for FEMA grants under this NOFO should be sent to [FEMA-CivilRightsOffice@fema.dhs.gov](mailto:FEMA-CivilRightsOffice@fema.dhs.gov).

**e. *Environmental Planning and Historic Preservation***

The FEMA Office of Environmental Planning and Historic Preservation (OEHP) provides guidance and information about the EHP review process to FEMA programs and FEMA's recipients and subrecipients. All inquiries and communications about EHP compliance for FEMA grant projects under this NOFO or the EHP review process should be sent to FEMA-OEHP-NOFOQuestions@fema.dhs.gov.

**2. Systems Information**

**f. *FEMA GO***

For technical assistance with the FEMA GO system, please contact the FEMA GO Helpdesk at [femago@fema.dhs.gov](mailto:femago@fema.dhs.gov) or (877) 611-4700, Monday through Friday, 9:00 AM – 6:00 PM ET.

**H. Additional Information**

**1. Termination Provisions**

FEMA may terminate a federal award in whole or in part for one of the following reasons. FEMA and the recipient must still comply with closeout requirements at 2 C.F.R. §§ 200.344-200.345 even if an award is terminated in whole or in part. To the extent that subawards are permitted under this NOFO, pass-through entities should refer to 2 C.F.R. § 200.340 for additional information on termination regarding subawards.

**a. *Noncompliance***

If a recipient fails to comply with the terms and conditions of a federal award, FEMA may terminate the award in whole or in part. If the noncompliance can be corrected, FEMA may first attempt to direct the recipient to correct the noncompliance. This may take the form of a Compliance Notification. If the noncompliance cannot be corrected or the recipient is non-responsive, FEMA may proceed with a Remedy Notification, which could impose a remedy for noncompliance per 2 C.F.R. § 200.339, including termination. Any action to terminate based on noncompliance will follow the requirements of 2 C.F.R. §§ 200.341-200.342 as well as the requirement of 2 C.F.R. § 200.340(c) to report in FAPIIS the recipient's material failure to comply with the award terms and conditions. See also the section on Actions to Address Noncompliance in this NOFO.

**b. *With the Consent of the Recipient***

FEMA may also terminate an award in whole or in part with the consent of the recipient, in which case the parties must agree upon the termination conditions, including the effective date, and in the case of partial termination, the portion to be terminated.

**c. *Notification by the Recipient***

The recipient may terminate the award, in whole or in part, by sending written notification to FEMA setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. In the case of partial termination, FEMA may determine that a partially terminated award will not accomplish the purpose of the federal award, so FEMA may terminate the award in its entirety. If that occurs, FEMA will follow the requirements of 2 C.F.R. §§ 200.341-200.342 in deciding to fully terminate the award.

## **2. Program Evaluation**

Recipients and subrecipients are encouraged to incorporate program evaluation activities from the outset of their program design and implementation to meaningfully document and measure their progress towards meeting an agency priority goal(s). Title I of the Foundations for Evidence-Based Policymaking Act of 2018 ([Evidence Act](#)), [Pub. L. No. 115-435 \(2019\)](#) urges federal awarding agencies and federal assistance recipients and subrecipients to use program evaluation as a critical tool to learn, to improve equitable delivery, and to elevate program service and delivery across the program lifecycle. Evaluation means “an assessment using systematic data collection and analysis of one or more programs, policies, and organizations intended to assess their effectiveness and efficiency.” Evidence Act § 101 (codified at 5 U.S.C. § 311). Evaluation costs are allowable costs (either as direct or indirect), unless prohibited by statute or regulation.

In addition, recipients are required to participate in a DHS-led evaluation if selected, which may be carried out by a third-party on behalf of the Program Office or DHS. By accepting grant funds, recipients agree to participate in the evaluation, which may include analysis of individuals who benefit from the grant, and provide access to program operating personnel and participants, as specified by the evaluator(s) during the award.

## **3. Period of Performance Extensions**

Extensions to the period of performance (POP) for this program are allowed. Extensions to the POP identified in the award will only be considered through formal, written requests to the recipient’s FEMA Program Analyst and must contain specific and compelling justifications as to why an extension is required. Recipients are advised to coordinate with the FEMA Program Analyst as needed when preparing an extension request.

All extension requests must address the following:

- a. The grant program, fiscal year, and award number;
- b. Reason for the delay –including details of the legal, policy, or operational challenges that prevent the final outlay of awarded funds by the deadline;
- c. Current status of the activity(ies);
- d. Approved POP termination date and new project completion date;
- e. Amount of funds drawn down to date;
- f. Remaining available funds, both federal and, if applicable, non-federal;
- g. Budget outlining how remaining federal and, if applicable, non-federal funds will be expended;

- h. Plan for completion, including milestones and timeframes for achieving each milestone and the position or person responsible for implementing the plan for completion; and
- i. Certification that the activity(ies) will be completed within the extended POP without any modification to the original statement of work, as described in the application and as approved by FEMA.

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the recipient or subrecipient with vendors prevent completion of the project, including delivery of equipment or services, within the existing POP;
- The project must undergo a complex environmental review that cannot be completed within the existing POP;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; or
- Where other special or extenuating circumstances exist.

Recipients should submit all proposed extension requests to FEMA for review and approval at least 90 calendar days prior to the end of the POP to allow sufficient processing time. Extensions are typically granted for no more than a six-month period.

#### **4. Disability Integration**

Pursuant to Section 504 of the Rehabilitation Act of 1973, recipients of FEMA financial assistance must ensure that their programs and activities do not discriminate against other qualified individuals with disabilities.

Grant recipients should engage with the whole community to advance individual and community preparedness and to work as a nation to build and sustain resilience. In doing so, recipients are encouraged to consider the needs of individuals with disabilities into the activities and projects funded by the grant.

FEMA expects that the integration of the needs of people with disabilities will occur at all levels, including planning; alerting, notification, and public outreach; training; purchasing of equipment and supplies; protective action implementation; and exercises/drills.

The following are examples that demonstrate the integration of the needs of people with disabilities in carrying out FEMA awards:

- Include representatives of organizations that work with/for people with disabilities on planning committees, work groups and other bodies engaged in development and implementation of the grant programs and activities.
- Hold all activities related to the grant in locations that are accessible to persons with physical disabilities to the extent practicable.
- Acquire language translation services, including American Sign Language, that provide public information across the community and in shelters.

- Ensure shelter-specific grant funds are in alignment with FEMA’s [Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters](#).
- If making alterations to an existing building to a primary function area utilizing federal funds, complying with the most recent codes and standards and making path of travel to the primary function area accessible to the greatest extent possible.
- Implement specific procedures used by public transportation agencies that include evacuation and passenger communication plans and measures for individuals with disabilities.
- Identify, create, and deliver training to address any training gaps specifically aimed toward whole-community preparedness. Include and interact with individuals with disabilities, aligning with the designated program capability.
- Establish best practices in inclusive planning and preparedness that consider physical access, language access, and information access. Examples of effective communication access include providing auxiliary aids and services such as sign language interpreters, Computer Aided Real-time Translation (CART), and materials in Braille or alternate formats.

FEMA grant recipients can fund projects towards the resiliency of the whole community, including people with disabilities, such as training, outreach and safety campaigns, provided that the project aligns with this NOFO and the terms and conditions of the award.

#### **5. Conflicts of Interest in the Administration of Federal Awards or Subawards**

For conflicts of interest under grant-funded procurements and contracts, refer to the section on Procurement Integrity in this NOFO and 2 C.F.R. §§ 200.317 – 200.327.

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities are also required to follow any applicable federal and state, local, tribal, or territorial (SLTT) statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or pass-through entity must disclose to the respective Program Analyst or Program Manager, in writing, any real or potential conflict of interest that may arise during the administration of the federal award, as defined by the federal or SLTT statutes or regulations or their own existing policies, within five days of learning of the conflict of interest. Similarly, subrecipients, whether acting as subrecipients or as pass-through entities, must disclose any real or potential conflict of interest to the recipient or next-level pass-through entity as required by the recipient or pass-through entity’s conflict of interest policies, or any applicable federal or SLTT statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or FEMA employees.

## 6. Procurement Integrity

Through audits conducted by the DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements at 2 C.F.R. §§ 200.317 – 200.327 when spending grant funds. Anything less than full compliance with federal procurement requirements jeopardizes the integrity of the grant as well as the grant program. To assist with determining whether an action is a procurement or instead a subaward, please consult 2 C.F.R. § 200.331. For detailed guidance on the federal procurement standards, recipients and subrecipients should refer to various materials issued by FEMA’s Procurement Disaster Assistance Team (PDAT), such as the [PDAT Field Manual](#) and [Contract Provisions Guide](#). Additional resources, including an upcoming trainings schedule can be found on the PDAT Website: <https://www.fema.gov/grants/procurement>.

The below highlights the federal procurement requirements for FEMA recipients when procuring goods and services with federal grant funds. FEMA will include a review of recipients’ procurement practices as part of the normal monitoring activities. **All procurement activity must be conducted in accordance with federal procurement standards at 2 C.F.R. §§ 200.317 – 200.327.** Select requirements under these standards are listed below. The recipient and any of its subrecipients must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a federal award, states (including territories) must follow the same policies and procedures they use for procurements from their non-federal funds; additionally, states must now follow 2 C.F.R. § 200.321 regarding socioeconomic steps, 200.322 regarding domestic preferences for procurements, 200.323 regarding procurement of recovered materials, and 2 C.F.R. § 200.327 regarding required contract provisions.

**All other non-federal entities, such as tribes (collectively, non-state entities),** must have and use their own documented procurement procedures that reflect applicable SLTT laws and regulations, provided that the procurements conform to applicable federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to, providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319 and the required procurement methods at § 200.320.

### a. *Important Changes to Procurement Standards in 2 C.F.R. Part 200*

OMB recently updated various parts of Title 2 of the Code of Federal Regulations, among them, the procurement standards. States are now required to follow the socioeconomic steps in soliciting small and minority businesses, women’s business enterprises, and labor surplus area firms per 2 C.F.R. § 200.321. All non-federal entities should also, to the greatest extent practicable under a federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States per 2 C.F.R. § 200.322. More information on OMB’s revisions to the federal procurement standards can be found in [Purchasing Under a FEMA Award: OMB Revisions Fact Sheet](#).

The recognized procurement methods in 2 C.F.R. § 200.320 have been reorganized into informal procurement methods, which include micro-purchases and small purchases; formal procurement methods, which include sealed bidding and competitive proposals; and noncompetitive procurements. The federal micro-purchase threshold is currently \$10,000, and non-state entities may use a lower threshold when using micro-purchase procedures under a FEMA award. If a non-state entity wants to use a micro-purchase threshold higher than the federal threshold, it must follow the requirements of 2 C.F.R. § 200.320(a)(1)(iii)-(v). The federal simplified acquisition threshold is currently \$250,000, and a non-state entity may use a lower threshold but may not exceed the federal threshold when using small purchase procedures under a FEMA award. *See* 2 C.F.R. § 200.1 (citing the definition of simplified acquisition threshold from [48 C.F.R. Part 2, Subpart 2.1](#)).

See 2 C.F.R. §§ 200.216, 200.471, and Appendix II as well as section D.13.a of the NOFO regarding prohibitions on covered telecommunications equipment or services.

**b. *Competition and Conflicts of Interest***

Among the requirements of 2 C.F.R. § 200.319(b) applicable to all non-federal entities other than states, in order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. FEMA considers these actions to be an organizational conflict of interest and interprets this restriction as applying to contractors that help a non-federal entity develop its grant application, project plans, or project budget. This prohibition also applies to the use of former employees to manage the grant or carry out a contract when those former employees worked on such activities while they were employees of the non-federal entity.

Under this prohibition, unless the non-federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.327, federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of those specifications. This rule applies to all contracts funded with federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees.

Additionally, some of the situations considered to be restrictive of competition include, but are not limited to:

- Placing unreasonable requirements on firms for them to qualify to do business;
- Requiring unnecessary experience and excessive bonding;
- Noncompetitive pricing practices between firms or between affiliated companies;
- Noncompetitive contracts to consultants that are on retainer contracts;
- Organizational conflicts of interest;
- Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and
- Any arbitrary action in the procurement process.



Per 2 C.F.R. § 200.319(c), non-federal entities other than states must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed SLTT geographical preferences in the evaluation of bids or proposals, except in those cases where applicable federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Under 2 C.F.R. § 200.318(c)(1), non-federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-federal entity.

Under 2 C.F.R. 200.318(c)(2), if the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local, tribal, or territorial government, the non-federal entity must also maintain written standards of conduct covering organizational conflicts of interest. In this context, organizational conflict of interest means that because of a relationship with a parent company, affiliate, or subsidiary organization, the non-federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. The non-federal entity must disclose in writing any potential conflicts of interest to FEMA or the pass-through entity in accordance with applicable FEMA policy.

**c. *Supply Schedules and Purchasing Programs***

Generally, a non-federal entity may seek to procure goods or services from a federal supply schedule, state supply schedule, or group purchasing agreement.

**I. GENERAL SERVICES ADMINISTRATION SCHEDULES**

States, tribes, and local governments, and any instrumentality thereof (such as local education agencies or institutions of higher education) may procure goods and services from a General Services Administration (GSA) schedule. GSA offers multiple efficient and effective procurement programs for state, tribal, and local governments, and instrumentalities thereof, to purchase products and services directly from pre-vetted contractors. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply

Schedules) are long-term government-wide contracts with commercial firms that provide access to millions of commercial products and services at volume discount pricing.

Information about GSA programs for states, tribes, and local governments, and instrumentalities thereof, can be found at <https://www.gsa.gov/resources-for/programs-for-State-and-local-governments> and <https://www.gsa.gov/buying-selling/purchasing-programs/gsa-schedules/schedule-buyers/state-and-local-governments>.

For tribes, local governments, and their instrumentalities that purchase off of a GSA schedule, this will satisfy the federal requirements for full and open competition provided that the recipient follows the GSA ordering procedures; however, tribes, local governments, and their instrumentalities will still need to follow the other rules under 2 C.F.R. §§ 200.317 – 200.327, such as solicitation of minority businesses, women’s business enterprises, small businesses, or labor surplus area firms (§ 200.321), domestic preferences (§ 200.322), contract cost and price (§ 200.324), and required contract provisions (§ 200.327 and Appendix II).

## II. OTHER SUPPLY SCHEDULES AND PROGRAMS

For non-federal entities other than states, such as tribes, local governments, and nonprofits, that want to procure goods or services from a state supply schedule, cooperative purchasing program, or other similar program, in order for such procurements to be permissible under federal requirements, the following must be true:

- The procurement of the original contract or purchasing schedule and its use by the non-federal entity complies with state and local law, regulations, and written procurement procedures;
- The state or other entity that originally procured the original contract or purchasing schedule entered into the contract or schedule with the express purpose of making it available to the non-federal entity and other similar types of entities;
- The contract or purchasing schedule specifically allows for such use, and the work to be performed for the non-federal entity falls within the scope of work under the contract as to type, amount, and geography;
- The procurement of the original contract or purchasing schedule complied with all the procurement standards applicable to a non-federal entity other than states under at 2 C.F.R. §§ 200.317 – 200.327; and
- With respect to the use of a purchasing schedule, the non-federal entity must follow ordering procedures that adhere to applicable state, tribal, and local laws and regulations and the minimum requirements of full and open competition under 2 C.F.R. Part 200.

If a non-federal entity other than a state seeks to use a state supply schedule, cooperative purchasing program, or other similar type of arrangement, FEMA recommends the recipient discuss the procurement plans with its FEMA Program Analyst.

### d. *Procurement Documentation*

Per 2 C.F.R. § 200.318(i), non-federal entities other than states and territories are required to maintain and retain records sufficient to detail the history of procurement covering at least



the rationale for the procurement method, selection of contract type, contractor selection or rejection, and the basis for the contract price. States and territories are encouraged to maintain and retain this information as well and are reminded that in order for any cost to be allowable, it must be adequately documented per 2 C.F.R. § 200.403(g).

Examples of the types of documents that would cover this information include but are not limited to:

- Solicitation documentation, such as requests for quotes, invitations for bids, or requests for proposals;
- Responses to solicitations, such as quotes, bids, or proposals;
- Pre-solicitation independent cost estimates and post-solicitation cost/price analyses on file for review by federal personnel, if applicable;
- Contract documents and amendments, including required contract provisions; and
- Other documents required by federal regulations applicable at the time a grant is awarded to a recipient.
- Additional information on required procurement records can be found on pages 24-26 of the [PDAT Field Manual](#).

## 7. Record Retention

### a. *Record Retention Period*

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award generally must be maintained for at least three years from the date the final FFR is submitted. *See* 2 C.F.R. § 200.334. Further, if the recipient does not submit a final FFR and the award is administratively closed, FEMA uses the date of administrative closeout as the start of the general record retention period.

The record retention period **may be longer than three years or have a different start date** in certain cases. These include:

- Records for real property and equipment acquired with Federal funds must be retained for **three years after final disposition of the property**. *See* 2 C.F.R. § 200.334(c).
- If any litigation, claim, or audit is started before the expiration of the three-year period, the records **must be retained until** all litigation, claims, or audit findings involving the records **have been resolved and final action taken**. *See* 2 C.F.R. § 200.334(a).
- The **record retention period will be extended if the non-federal entity is notified in writing** of the extension by FEMA, the cognizant or oversight agency for audit, or the cognizant agency for indirect costs, or pass-through entity. *See* 2 C.F.R. § 200.334(b).
- Where FEMA requires recipients to report program income after the period of performance ends, the **program income record retention period begins at the end of the recipient's fiscal year in which program income is earned**. *See* 2 C.F.R. § 200.334(e).
- For indirect cost rate computations and proposals, cost allocation plans, or any similar accounting computations of the rate at which a particular group of costs is chargeable

(such as computer usage chargeback rates or composite fringe benefit rates), the start of the record retention period depends on whether the indirect cost rate documents were submitted for negotiation. If the **indirect cost rate documents were submitted for negotiation, the record retention period begins from the date those documents were submitted** for negotiation. If indirect cost rate documents were **not submitted for negotiation, the record retention period begins at the end of the recipient's fiscal year or other accounting period covered by that indirect cost rate.** See 2 C.F.R. § 200.334(f).

**b. Types of Records to Retain**

FEMA requires that non-federal entities maintain the following documentation for federally funded purchases:

- Specifications
- Solicitations
- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

Non-federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of any relevant documentation and records, including purchasing documentation along with copies of cancelled checks for verification. See, e.g., 2 C.F.R. §§ 200.318(i), 200.334, 200.337.

In order for any cost to be allowable, it must be adequately documented per 2 C.F.R. § 200.403(g). Non-federal entities who fail to fully document all purchases may find their expenditures questioned and subsequently disallowed.

**8. Actions to Address Noncompliance**

Non-federal entities receiving financial assistance funding from FEMA are required to comply with requirements in the terms and conditions of their awards or subawards, including the terms set forth in applicable federal statutes, regulations, NOFOs, and policies. Throughout the award lifecycle or even after an award has been closed, FEMA or the pass-through entity may discover potential or actual noncompliance on the part of a recipient or subrecipient. This potential or actual noncompliance may be discovered through routine monitoring, audits, closeout, or reporting from various sources.

In the case of any potential or actual noncompliance, FEMA may place special conditions on an award per 2 C.F.R. §§ 200.208 and 200.339, FEMA may place a hold on funds until the matter is corrected, or additional information is provided per 2 C.F.R. § 200.339, or it may do both. Similar remedies for noncompliance with certain federal civil rights laws are authorized pursuant to 44 C.F.R. Parts 7 and 19.

In the event the noncompliance is not able to be corrected by imposing additional conditions or the recipient or subrecipient refuses to correct the matter, FEMA might take other remedies allowed under 2 C.F.R. § 200.339. These remedies include actions to disallow costs, recover funds, wholly or partly suspend or terminate the award, initiate suspension and debarment proceedings, withhold further federal awards, or take other remedies that may be legally available. For further information on termination due to noncompliance, see the section on Termination Provisions in the NOFO.

FEMA may discover and take action on noncompliance even after an award has been closed. The closeout of an award does not affect FEMA's right to disallow costs and recover funds as long as the action to disallow costs takes place during the record retention period. *See* 2 C.F.R. §§ 200.334, 200.345(a). Closeout also does not affect the obligation of the non-federal entity to return any funds due as a result of later refunds, corrections, or other transactions. 2 C.F.R. § 200.345(a)(2).

The types of funds FEMA might attempt to recover include, but are not limited to, improper payments, cost share reimbursements, program income, interest earned on advance payments, or equipment disposition amounts.

FEMA may seek to recover disallowed costs through a Notice of Potential Debt Letter, a Remedy Notification, or other letter. The document will describe the potential amount owed, the reason why FEMA is recovering the funds, the recipient's appeal rights, how the amount can be paid, and the consequences for not appealing or paying the amount by the deadline.

If the recipient neither appeals nor pays the amount by the deadline, the amount owed will become final. Potential consequences if the debt is not paid in full or otherwise resolved by the deadline include the assessment of interest, administrative fees, and penalty charges; administratively offsetting the debt against other payable federal funds; and transferring the debt to the U.S. Department of the Treasury for collection.

FEMA notes the following common areas of noncompliance for FEMA's grant programs:

- Insufficient documentation and lack of record retention.
- Failure to follow the procurement under grants requirements.
- Failure to submit closeout documents in a timely manner.
- Failure to follow EHP requirements.
- Failure to comply with the POP deadline.

## 9. Audits

FEMA grant recipients are subject to audit oversight from multiple entities including the DHS OIG, the GAO, the pass-through entity, or independent auditing firms for single audits, and may cover activities and costs incurred under the award. Auditing agencies such as the DHS OIG, the GAO, and the pass-through entity (if applicable), and FEMA in its oversight capacity, must have access to records pertaining to the FEMA award. Recipients and subrecipients must retain award documents for at least three years from the date the final FFR is submitted, and even longer in many cases subject to the requirements of 2 C.F.R. § 200.334. In the case of administrative closeout, documents must be retained for at least three

years from the date of closeout, or longer subject to the requirements of 2 C.F.R. § 200.334. If documents are retained longer than the required retention period, the DHS OIG, the GAO, and the pass-through entity, as well as FEMA in its oversight capacity, have the right to access these records as well. *See* 2 C.F.R. §§ 200.334, 200.337.

Additionally, non-federal entities must comply with the single audit requirements at 2 C.F.R. Part 200, Subpart F. Specifically, non-federal entities, other than for-profit subrecipients, that expend \$750,000 or more in federal awards during their fiscal year must have a single or program-specific audit conducted for that year in accordance with Subpart F. 2 C.F.R. § 200.501. A single audit covers all federal funds expended during a fiscal year, not just FEMA funds. The cost of audit services may be allowable per 2 C.F.R. § 200.425, but non-federal entities must select auditors in accordance with 2 C.F.R. § 200.509, including following the proper procurement procedures. For additional information on single audit reporting requirements, see section F of this NOFO under the header “Single Audit Report” within the subsection “Additional Reporting Requirements” or other applicable document.

The objectives of single audits are to:

- Determine if financial statements conform to generally accepted accounting principles (GAAP);
- Determine whether the schedule of expenditures of federal awards is presented fairly;
- Understand, assess, and test the adequacy of internal controls for compliance with major programs; and
- Determine if the entity complied with applicable laws, regulations, and contracts or grants.

For single audits, the auditee is required to prepare financial statements reflecting its financial position, a schedule of federal award expenditures, and a summary of the status of prior audit findings and questioned costs. The auditee also is required to follow up and take appropriate corrective actions on new and previously issued but not yet addressed audit findings. The auditee must prepare a corrective action plan to address the new audit findings. 2 C.F.R. §§ 200.508, 200.510, 200.511.

Non-federal entities must have an audit conducted, either single or program-specific, of their financial statements and federal expenditures annually or biennially pursuant to 2 C.F.R. § 200.504. Non-federal entities must also follow the information submission requirements of 2 C.F.R. § 200.512, including submitting the audit information to the [Federal Audit Clearinghouse](#) within the earlier of 30 calendar days after receipt of the auditor’s report(s) or nine months after the end of the audit period. The audit information to be submitted include the data collection form described at 2 C.F.R. § 200.512(c) and Appendix X to 2 C.F.R. Part 200 as well as the reporting package described at 2 C.F.R. § 200.512(b).

The non-federal entity must retain one copy of the data collection form and one copy of the reporting package for three years from the date of submission to the Federal Audit Clearinghouse. 2 C.F.R. § 200.512; *see also* 2 C.F.R. § 200.517 (setting requirements for retention of documents by the auditor and access to audit records in the auditor’s possession).

FEMA, the DHS OIG, the GAO, and the pass-through entity (if applicable), as part of monitoring or as part of an audit, may review a non-federal entity's compliance with the single audit requirements. In cases of continued inability or unwillingness to have an audit conducted in compliance with 2 C.F.R. Part 200, Subpart F, FEMA and the pass-through entity, if applicable, are required to take appropriate remedial action under 2 C.F.R. § 200.339 for noncompliance, pursuant to 2 C.F.R. § 200.505.

## 10. Payment Information

FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients.

Payment requests are submitted through FEMA GO.

## 11. Whole Community Preparedness

Preparedness is a shared responsibility that calls for the involvement of everyone—not just the government—in preparedness efforts. By working together, everyone can help keep the nation safe from harm and help keep it resilient when struck by hazards, such as natural disasters, acts of terrorism, and pandemics.

[Whole Community](#) includes:

- Individuals and families, including those with access and functional needs
- Businesses
- Faith-based and community organizations
- Nonprofit groups
- Schools and academia
- Media outlets
- All levels of government, including state, local, tribal, territorial, and federal partners

The phrase “Whole Community” often appears in preparedness materials, as it is one of the guiding principles. It means two things:

1. Involving people in the development of national preparedness documents.
2. Ensuring their roles and responsibilities are reflected in the content of the materials.

## 12. Appendices

- Appendix A: FEMA Expectations for Standards Alignment and Assessment Review
- Appendix B: Detail on EMBAG Performance Measurement
- Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG
- Appendix D: Project Narrative Instructions
- Appendix E: Budget Detail Worksheet Template
- Appendix F: Post-Award Requirements

## **Appendix A: FEMA Expectations for Standards Alignment and Assessment Review**

The FY 2023 EMBAG cooperative agreement supports continuing efforts to increase alignment between national-level standards and assessment processes for emergency management with FEMA doctrine and policy. These efforts ensure that emergency management programs and emergency managers receive consistent tools to help them respond to and recover from disasters. Requirements for assessment review and alignment are described in full below.

**Assessment Process Requirements:** Any assessment processes supported by the EMBAG **must** include a review of the following 17 areas within an emergency management program as part of their assessment and accreditation process:

1. Emergency Management Program Administration, including Authorities, Oversight and Strategic Planning;
2. Development and use of a Threat and Hazard Identification and Risk Assessment (THIRA)/Stakeholder Preparedness Review (SPR);
3. Continuity of Government and Continuity of Operations;
4. Incident Management, to include National Incident Management System (NIMS) and National Qualification System (NQS) Implementation;
5. Emergency Management Finance, including Disaster Cost Recovery;
6. Operations and Procedures;
7. Consequence Analysis;
8. Emergency Planning, including Mutual Aid, Communications and Warning;
9. Evacuation and Shelter-in-Place;
10. Mass Care and Sheltering;
11. Resource Management and Logistics;
12. Recovery;
13. Disaster Housing;
14. Hazard Mitigation;
15. Training;
16. Exercises, including Alignment with the Homeland Security Exercise and Evaluation Program; and
17. Public Affairs.

**National Standards Requirements:** Any standards supported by the EMBAG **must** align to the nine FEMA guidance resources outlined below. A description documenting the alignment of national-level standards to the nine guidance resources below must be submitted with the application.

### **FEMA Guidance Resources:**

#### **1. National Preparedness System (NPS)**

The NPS serves as the instrument the nation employs to build, sustain and deliver core capabilities in order to achieve the [National Preparedness Goal](#) (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The Goal defines resilience as the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

Information on the National Preparedness System can be found at <https://www.fema.gov/national-preparedness-system>. Information on the Goal can be found at <https://www.fema.gov/national-preparedness-goal>.

## **2. National Continuity Policy**

Presidential Policy Directive (PPD) 40, National Continuity Policy, and the 2018 Continuity Guidance Circular provide comprehensive national policy on continuity programs, capabilities, and operations. PPD-40 and the 2018 Continuity Guidance Circular provide guidance and tools to assist state, local, tribal, and territorial, local, and tribal governments, non-governmental and private sector critical infrastructure owners and operators in maintaining essential functions during disasters and emergencies.

Information on National Continuity Programs can be found at <https://www.fema.gov/about/offices/continuity> and the 2018 Continuity Guidance Circular is located at [https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular\\_031218.pdf](https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular_031218.pdf).

## **3. National Incident Management System (NIMS) and the National Qualification System (NQS)**

NIMS provides a nationwide approach to enable stakeholders to work together to manage all threats and hazards, regardless of the incident's cause or size. FEMA has developed the NQS, which provides a foundational guideline on the typing of personnel resources within the NIMS framework, in addition to supporting tools.

Information on NIMS and NQS can be found at <https://www.fema.gov/emergency-managers/nims> and <https://www.fema.gov/emergency-managers/nims/components#nqs>.

## **4. FEMA Public Assistance Program and Policy Guide (PAPPG), v4 (June 2020)**

The FEMA Policy 104-009-2: Public Assistance Program and Policy Guide (PAPPG) combines all Public Assistance (PA) policy into a single volume and provides an overview of the PA Program implementation process with links to other publications and documents that provide additional process details.

Information on aspects of disaster cost recovery referenced in this notice of funding opportunity can be found in the PAPPG, which is located at <https://www.fema.gov/assistance/public/policy-guidance-fact-sheets>.

## **5. National Disaster Recovery Framework (NDRF), Second Edition**

The NDRF establishes a common platform and forum for how the whole community builds, sustains, and coordinates delivery of recovery capabilities through the effective coordination of partners and resources to ensure the continuity of services and support to meet the needs of affected community members.

Information on the NDRF can be found at <https://www.fema.gov/national-disaster-recovery-framework>.



## 6. FEMA Pre-Disaster Recovery Planning Guides

Information for state, local, tribal and territorial governments on creating an organizational framework for comprehensive recovery efforts can be found in the FEMA Pre-Disaster Recovery Planning Guides, located at <https://www.fema.gov/sites/default/files/2020-07/pre-disaster-recovery-planning-guide-for-state-governments.pdf> for state and territorial governments, <https://www.fema.gov/sites/default/files/2020-07/pre-disaster-recovery-planning-guide-for-tribal-government.pdf> for tribal governments, and [Pre-Disaster Recovery Planning Guide for Local Governments \(fema.gov\)](#) for local governments.

## 7. Comprehensive Preparedness Guide (CPG) 201: Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) Guide, Third Edition

CPG 201, Third Edition provides guidance for conducting the three-step process for a Threat and Hazard Identification and Risk Assessment (THIRA) and the three-step process for a Stakeholder Preparedness Review (SPR), formerly the State Preparedness Report. CPG 201, Third Edition covers both the THIRA and SPR because they are interconnected processes that, together, communities use to measure capabilities and evaluate their preparedness. All types of communities can complete the THIRA/SPR to better understand the risks they face and make important decisions on how to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risks.

For the purposes of SHSP and UASI, FEMA requires states, territories and Urban Areas to complete a THIRA and SPR and prioritize grant funding to support closing capability gaps or sustaining capabilities identified in this process.

Information on CPG 201, Third Edition can be found at <https://www.fema.gov/media-library/assets/documents/165308>.

## 8. National Response Framework (NRF), Fourth Edition

The National Response Framework (NRF), Fourth Edition, provides foundational emergency management doctrine for how the nation responds to all types of incidents. The NRF is built on scalable, flexible, and adaptable concepts identified in the National Incident Management System (NIMS) to align key roles and responsibilities across the nation. The structures, roles and responsibilities described in this Framework can be partially or fully implemented in the context of a threat or hazard, in anticipation of a significant event, or in response to an incident. Implementing the structures and procedures described herein allows for a scaled response, delivery of specific resources and capabilities, and a level of coordination appropriate to each incident.

Information on the NRF can be found at <https://www.fema.gov/media-library/assets/documents/117791>

## 9. Homeland Security Exercise and Evaluation Program (HSEEP)

Exercises are a key component of national preparedness, providing the whole community with the opportunity to shape planning, assess and validate capabilities, and address areas

for improvement. HSEEP provides a set of guiding principles for exercise and evaluation programs, as well as a common approach to exercise program management, design and development, conduct, evaluation and improvement planning. Through the use of HSEEP, the whole community can develop, execute, and evaluate exercises that address the preparedness priorities. These priorities are informed by risk and capability assessments, findings, corrective actions from previous events, and external requirements. These priorities guide the overall direction of an exercise program and the design and development of individual exercises.

Learn more about HSEEP: <https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep>.

## **Appendix B: Detail on EMBAG Performance Measurement**

The performance of the EMBAG is measured against the intended outcomes identified in the Objectives section of this notice. All projects and activities under the two objectives listed in the Objectives section contribute to these outcomes. Projects contribute to targeted outcomes through supporting training and assessments for emergency management programs and emergency managers that can help them obtain accreditation or certification according to the national-level standards for emergency management. Projects also contribute to targeted outcomes through supporting the following for national-level standards: governance, revising standards, and developing training and planning needed for conducting assessments. Short-term outcomes targeted by the EMBAG include increased awareness of national-level standards for program accreditation and emergency manager certification. Intermediate-term outcomes include increasing the number of qualified emergency management programs and emergency managers in place before incidents. Long-term outcomes targeted by the EMBAG include increased capability of programs and emergency managers, improved national-level standards for emergency management, and increased national preparedness. Language under the Program Objectives header in [Section A](#) outlines further details on program outcomes. Evaluation-related costs are allowed costs under this program. Please refer to [Section D](#) and [Section H](#) of this NOFO for additional information.

The table below displays FY 2023 EMBAG performance metrics. The performance of the EMBAG in achieving its targeted short and intermediate term outcomes is measured through metrics 2 and 3 for program accreditation and 5 and 6 for emergency manager certification. FEMA will use data collected from EMBAG performance measures to study improvements in national capability according to other data sources.

The following is an example template for how to report FY 2023 EMBAG metric scores. Documentation requirements are outlined in [Appendix F](#):

<b>FY 2023 EMBAG Performance Metrics</b>	<b>Score</b>
<b>Objective 1: Supporting Emergency Management Program Accreditation</b>	
<u>Metric 1</u> : Percent of jurisdiction emergency management programs participating in assessments supported by the FY 2023 EMBAG that achieve national-level accreditation.	Percent
<u>Metric 2</u> : Percent of jurisdiction emergency management programs supported by the FY 2023 EMBAG that reported one or more aspects of their emergency management program improved as a result of the accreditation process and other support (training and assessments) received through the EMBAG.	Percent
<b>Objective 2: Supporting Emergency Manager Certification</b>	
<u>Metric 3</u> : Percent of emergency managers with certification supported by the FY 2023 EMBAG that achieve national-level certification.	Percent
<u>Metric 4</u> : Percent of emergency managers supported by the FY 2023 EMBAG that reported one or more aspects of their competence to manage an emergency management program improved as a part of the certification process and other support (training and assessments) received through the EMBAG.	Percent

**Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG**

<b>Direct Cost Type</b>	<b>Description</b>	<b>Allowable</b>
<b>Planning</b>	Costs used to support assessment and accreditation or certification processes that support the purpose of the EMBAG described in this notice.	Yes
<b>Planning</b>	Costs used to support the objectives and projects described in Sections A and D and Appendices D, E, and F of this notice.	Yes
<b>Organization</b>	<i>N/A</i>	<i>No</i>
<b>Equipment</b>	<i>N/A</i>	<i>No</i>
<b>Training</b>	Costs used to support the training needed for assessors to complete assessment of emergency management programs funded by the EMBAG as part of an accreditation or certification process that supports the purpose of the EMBAG described in this notice.	Yes
<b>Training</b>	Costs used to support the objectives and projects described in Sections A and D and Appendices D, E, and G of this notice.	Yes
<b>Training</b>	<i>Costs NOT related to supporting the specific objectives and projects outlined in Sections A and D and Appendices D, E, and G of this notice, including but not limited to costs related to training for candidates of accreditation and certification NOT funded by the EMBAG.</i>	<i>No</i>
<b>Training</b>	<i>Costs related to state, local, tribal and territorial student travel to classes at FEMA facilities.</i>	<i>No</i>
<b>Exercises</b>	Costs used to support the objectives and projects of the EMBAG described in NOFO Sections A and D and Appendices D, E, and G.	Yes
<b>Personnel - Recipient</b>	Costs used to support the objectives and projects of the EMBAG described in Sections A and D and Appendices D, E, and G of this notice. Specifically, personnel hiring, overtime, and backfill expenses are permitted under this program for the EMBAG recipient to perform allowable EMBAG planning, training and exercise activities, EXCEPT for peer review. Overtime costs are allowed only insofar as they meet the purpose of EMBAG described in this notice.	Yes
<b>Personnel – Hiring for Peer Review</b>	<i>Hiring additional personnel to complete the process of peer review.</i>	<i>No</i>
<b>Contracting and Consulting</b>	Costs used for management of the grant award.	Yes
<b>Contract and Consulting</b>	<i>Costs used for providing subject-matter expertise on the FY 2023 EMBAG Objectives.</i>	<i>No</i>
<b>Travel - Domestic</b>	Costs for recipient personnel and assessors that support the objectives and projects of the EMBAG described in Sections A and D and Appendices D, E and G of this notice.	Yes
<b>Travel - Domestic</b>	<i>Costs related to state, local, tribal and territorial student travel to classes at FEMA facilities.</i>	<i>No</i>
<b>Travel - International</b>	<i>N/A</i>	<i>No</i>
<b>Construction and Renovation</b>	<i>N/A</i>	<i>No</i>
<b>Evaluation</b>	Costs used for planning and conducting evaluations of project activities and in the interpretation and reporting of findings.	Yes

## **Appendix D: Project Narrative Instructions**

### **Required Format**

FEMA will not review or consider for funding any application that does not conform to the following criteria. Applicants must format the application according to the following guidance.

- **Document Type**: The Project Narrative must be submitted in Microsoft Word or Adobe Portable Document Format (PDF).
- **Spacing** is Single or Double.
- **Typeface**:
  - Narrative: Times New Roman, Arial, Calibri, or Cambria; 12 pt. font size.
  - Citations (in-text, endnote/footnote): Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
  - Spreadsheet or Table Data Figures, Notes, and Titles: Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
  - Graphics (such as pictures, models, charts, and graphs): Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
- **Margins** are 1 inch.
- **Indentation/Tabs** are at the Applicant's discretion.
- **Page Orientation** is Portrait. However, Landscape may be used for spreadsheets and tables.
- **Graphics** (e.g., pictures, models, charts and graphs) will be accepted but are not required.
- **Primary font color** will be black. However, other colors such as red and blue may be used for emphasis as appropriate.
- **Bold or italicized font** may be used but is not required.
- **Spreadsheet or table format** is acceptable where appropriate (e.g., timelines and matrices) but not mandatory.

## Required Application Contents

Applicants must present the contents of the Project Narrative submitted as part of their application using the following arrangement.

Section	Question
<b>Background</b>	Identify the applicant applying for the program and the Points of Contact (POCs) for this project, including the following: <ul style="list-style-type: none"> <li>• Name of primary applicant (the applicant);</li> <li>• Name and title of the lead POC;</li> <li>• POC’s full mailing address, telephone number and email address;</li> <li>• Name and title of the single authorizing official, or AOR, for the organization (i.e., the individual authorized to sign a grant award); and</li> <li>• Authorizing official’s full mailing address, telephone number and email address.</li> </ul>
<b>Project Plan</b>	<ol style="list-style-type: none"> <li>1. Describe your organization’s plan for meeting the objective of the EMBAG applicable to your organization pursuant to <a href="#">Section A</a>, <a href="#">Section C</a>, and <a href="#">Appendix F</a> of this notice.</li> <li>2. Please describe how you will address the post-award reporting and workplan requirements relevant to the project you address in your application pursuant in <a href="#">Appendix F: Post-Award Requirements</a>, including a timeline and milestones that are critical to the success of the activities supporting the objectives of the EMBAG. The Project Plan that you submit as part of your Project Narrative will be considered the draft workplan if you are selected. If selected as a recipient, you must update and finalize this draft workplan after you accept the award, as described in <a href="#">Appendix F: Post-Award Requirements</a>.</li> <li>3. Please describe the alignment of your organization’s national-level standards to the nine FEMA guidance resources described in <a href="#">Appendix A: FEMA Expectations for Standards Alignment and Assessment Review</a>.</li> </ol>
<b>Impact</b>	<ol style="list-style-type: none"> <li>1. Describe what impacts your organization anticipates from its plan to each of the following: 1) emergency management program; 2) emergency managers; 3) the jurisdictions that they serve; and 4) the national preparedness of the United States.</li> <li>2. Describe how your organization will collect data on the applicable performance metrics referenced in <a href="#">Section A: Program Description</a>. Please refer to requirements in <a href="#">Appendix B: Detail on EMBAG Performance Measurement</a>.</li> </ol> <p>Notes:</p> <ul style="list-style-type: none"> <li>• Applicants must describe in their application how they will collect data on FY 2023 EMBAG Performance Metrics relevant to their application. Applicants must include a description of how they are collecting and storing raw data used to calculate scores for these metrics and what methods they are using to calculate metrics.</li> <li>• Performance metrics will be used as part of close out reporting to evaluate recipient activities.</li> </ul>
<b>Budget</b>	<ol style="list-style-type: none"> <li>1. Provide a budget narrative and detailed budget worksheet of the project using <a href="#">Appendix E: Budget Detail Worksheet Template</a> as a reference. Please include total project dollars in the detailed budget worksheet.</li> <li>2. Describe your organization’s ability to manage federal grants, addressing the following factors: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory or other requirements.</li> </ol>

### **Appendix E: Budget Detail Worksheet Template**

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative. Applicants may submit the budget and budget narrative using this form or in the format of their choosing (plain sheets, independently created forms, or a variation of this form). However, all required information (including the budget narrative) must be provided. Applicants must provide all the requested information identified in the general instructions, as well as the instructions for each section, and categorize it by activity and allowable cost.

#### **General Instructions**

Populate the tables to identify the cost to implement the proposed project.

- The applicant should list and describe all activities and associated costs required to implement the EMBAG Object and Project(s) that they will implement.
- The applicant should link each cost to a funding notice objective and project as defined in [Section A: Program Description](#).
- Funds must be aligned to allowable cost categories (e.g., personnel, travel, supplies) within each of the funding notice objectives addressed in the Project Plan.
- A justification of costs for each section, including the identification of any cost savings measures, should be addressed in the Budget section of the Project Narrative (the budget narrative).

**A. Personnel.** List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		\$
<b>Total Personnel</b>		\$

**B. Fringe Benefits.** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
		\$
<b>Total Fringe Benefits</b>		\$



**C. Travel.** Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to three-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of any Travel Policies applied.

Purpose of Travel	Location	Item	Computation	Cost
				\$
<b>Total Travel</b>				\$

**D. Supplies.** List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, handheld tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		\$
<b>Total Supplies</b>		\$

**E. Consultants/Contracts.**

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, and computed estimated cost of the service. Note: Contract and consulting costs are not allowed for providing subject-matter expertise on the FY 2023 EMBAG Objectives, and no pre-award grant writing services are allowed, since pre-award costs are not allowed. Contract and consulting costs used for management of the grant award are allowed.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Name of Consultant	Service Provided	Computation	Cost
			\$
<b>Subtotal – Consultant Fees</b>			\$

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Item	Location	Computation	Cost
			\$
<b>Subtotal – Consultant Expenses</b>			\$

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. When using federal funds to procure property or services, applicants must follow the applicable requirements set forth in 2 C.F.R. §§ 200.317 through 200.326.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

Item	Cost
	\$
<b>Subtotal – Contracts</b>	\$

**Total Consultants/Contracts**

\$
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**F. Other Costs.** List items by major type and the basis of the computation.

**Budget Narrative:** Provide a narrative budget justification for each of the budget items identified.

**Important Note:** If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

Description	Computation	Cost
		\$
<b>Total Other</b>		\$

**G. Indirect Costs.** Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		\$
<b>Total Indirect Costs</b>		\$

**H. Budget Summary.** When applicant has completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Federal Amount</b>	<b>Non-Federal Amount</b>
A. Personnel	\$	\$
B. Fringe Benefits	\$	\$
C. Travel	\$	\$
D. Supplies	\$	\$
E. Consultants/Contracts	\$	\$
F. Other	\$	\$
G. Indirect Costs	\$	\$

<b>Total Requested</b>	<b>Total Non-Federal Amount</b>
<b>Federal Amount</b>	
\$	\$
<b>Combined Total Project Costs</b>	
\$	

## **Appendix F: Post-Award Requirements**

This appendix describes post-award conditions that applicants, as described in [Appendix D: Project Narrative Instructions](#), must address in the Project Plan section of their Project Narrative and that recipients must comply with in order to receive funding. These post-award conditions are described below.

### **1. Post-Award Programmatic Reporting and Other Communication Requirements**

This section describes requirements for recipient communication with FEMA and all programmatic post-award reporting. These requirements are separated below into a single table, with the columns noting the EMBAG objective applicable to each reporting requirement. The type of programmatic reporting for each requirement is noted under in the *Report or Communication Type* column.

Raw data used for reports must be submitted to FEMA no later than 120 calendar days after the end of the period of performance. FEMA reserves the right to collect additional information to validate recipient reporting.

<b>FY 2023 EMBAG Objective(s)</b>	<b>Report or Communication Type</b>	<b>Reporting Due Date</b>	<b>Description</b>
<b>Objective 1: Supporting Emergency Management Program Accreditation</b>  <b>and</b> <b>Objective 2: Supporting Emergency Manager Certification</b>	<b>Award Kickoff Meeting</b>	<i>Within 70 calendar days of award</i>	Within <b>70 calendar days</b> of the award, recipients and FEMA will meet to confirm the structure, requirements, milestones and level of support for establishing and maintaining the deliverables required to meet the EMBAG Objectives. Recipients will discuss the Project Plan, or draft workplan in the Project Narrative of their original application, and FEMA will provide feedback on these workplans. FEMA will also work with participants to develop requirements related to communication, including bi-monthly calls.
	<b>Workplan for the FY 2023 EMBAG</b>	<i>Within 90 calendar days of award</i>	Recipients of the EMBAG must provide FEMA a final workplan, which must be an update of the Project Plan in the Project Narrative they submitted as part of their original application. Workplans must adhere to requirements in under the header Post Award Workplan Requirements in this appendix.

FY 2023 EMBAG Objective(s)	Report or Communication Type	Reporting Due Date	Description
<p><b>Objective 1: Supporting Emergency Management Program Accreditation</b></p> <p><b>and</b></p> <p><b>Objective 2: Supporting Emergency Manager Certification</b></p>	<p><b>Programmatic Performance Reports</b></p>	<p><i>Quarterly (September 2023- August 2024)</i></p>	<p>Recipients must provide written quarterly reports to FEMA and upload them into the Performance Progress Reports (PPRs) in FEMA GO. FEMA will work with recipients to develop detailed requirements related to PPRs.</p> <p><b><i>FEMA reserves the right to request more frequent reporting as necessary.</i></b></p>
<p><b>Objective 1: Supporting Emergency Management Program Accreditation</b></p>	<p><b>Baseline Assessment Report</b></p>	<p><i>No later than 90 calendar days after the conclusion of each Baseline Assessment</i></p>	<p>The recipient must provide a Baseline Assessment Report, which identifies the jurisdiction assessed and reports on the results of each jurisdiction assessed to FEMA. The recipient must provide these reports to FEMA and the assessed jurisdiction no later than <b>90 days</b> after the assessment process is complete.</p>

FY 2023 EMBAG Objective(s)	Report or Communication Type	Reporting Due Date	Description
<b>Objective 1: Supporting Emergency Management Program Accreditation</b>	<p><b><u>Closeout Reporting:</u></b></p> <p>Annual Baseline Assessment Summary Report</p> <p>Scores for EMBAG Performance Metrics</p>	<p><i>120 calendar days after the end of the FY 2023 EMBAG period of performance</i></p>	<p>The recipient must provide to FEMA an Annual Baseline Assessment Summary Report no later than 120 calendar days after the end of the FY 2023 EMBAG period of performance. Either separately or as part of this report, the recipient must submit to FEMA a summary of accreditations supported by the FY 2023 EMBAG. This report must include results from reviews and analyses conducted as part of the EMBAG.</p> <p>The recipient must provide scores for the applicable performance metrics referenced in <a href="#">Section A: Program Description</a> and <a href="#">Appendix B: Detail on EMBAG Performance Measurement</a>, raw data for these scores, and documentation for how this scores were calculated.</p> <p>FEMA will also work with participants to develop requirements related these reports.</p>
<b>Objective 2: Supporting Emergency Manager Certification</b>	<p><b><u>Closeout Reporting:</u></b></p> <p>Annual Certification Report</p> <p>Scores for EMBAG Performance Metrics</p>	<p><i>120 calendar days after the end of the FY 2023 EMBAG period of performance</i></p>	<p>The recipient must provide to FEMA an Annual Certification Summary Report no later than 120 calendar days after the end of the FY 2023 EMBAG period of performance. This report must reflect results of certifications supported by EMBAG Objective 2 Projects. This report must include results from reviews and analyses conducted as part of the EMBAG, including data on how jurisdiction emergency management programs benefit from their employee certification through the EMBAG.</p> <p>The recipient must provide scores for the applicable performance metrics referenced in <a href="#">Section A: Program Description</a>, raw data for these scores, and documentation for how these scores were calculated.</p> <p>FEMA will also work with participants to develop requirements related these reports.</p>

## 2. Post-Award Workplan Requirements

This section describes requirements that recipients must address in their final workplan that they submit to FEMA after accepting the award. Requirements are listed by EMBAG Objective and Project. Additional details are broken out into tasks. Workplans must address all details described in the two (2) tables below pertinent to projects selected.

### a. *Emergency Management Program Accreditation*

For voluntary standards and accreditation processes for emergency management programs, the applicant will be responsible for the following EMBAG Objective requirements and project.

<b>Objective 1: Supporting Emergency Management Program Accreditation</b>
<b>Objective 1 Project: Conduct assessments on a volunteer basis for SLTT emergency management programs against national-level standards for emergency management.</b>
<b><i>Requirements for Activities</i></b>
<ul style="list-style-type: none"> <li>• Any standards used to conduct assessments must align with the nine FEMA guidance resources noted in <a href="#">Appendix A</a>.             <ul style="list-style-type: none"> <li>○ Recipients must describe the alignment of their organization’s national-level standards to the nine FEMA guidance resources described in <a href="#">Appendix A</a>.</li> </ul> </li> <li>• Efforts can include:             <ul style="list-style-type: none"> <li>○ Conducting assessments against national-level standards for emergency management to accredit SLTT emergency management programs.                 <ul style="list-style-type: none"> <li>▪ Activities can include training, capacity building and outreach to increase awareness of and engagement in accreditation for emergency management programs.</li> </ul> </li> <li>○ Maintaining and revising national-level standards used to accredit emergency management programs.                 <ul style="list-style-type: none"> <li>▪ Activities related to maintaining and revising national-level standards used to accredited emergency management programs must only relate to the standards used to assess SLTT emergency management programs supported by FY 2023 EMBAG funding.</li> </ul> </li> <li>○ Maintaining a peer review process and team to assess emergency management program adherence to the standards.                 <ul style="list-style-type: none"> <li>▪ Peer reviewers must consist of emergency management officials from other peer SLTT emergency management programs.</li> <li>▪ Activities can include outreach, training, and other costs associated with training assessors for assessments conducted with FY 2023 EMBAG funding.</li> </ul> </li> </ul> </li> </ul>



**b. Emergency Manager Certification**

For voluntary standards and certification processes for emergency management professionals, the applicant will be responsible for the following EMBAG Objective requirements and project.

<b>Objective 2: Supporting Emergency Manager Certification</b>
<b>Objective 2 Project: Conduct assessments on a volunteer basis for state, local, tribal and territorial emergency managers against national-level standards and criteria.</b>
<b><i>Requirements for Activities</i></b>
<ul style="list-style-type: none"> <li>• Any standards used to conduct assessments must align with the nine FEMA guidance resources noted in <a href="#">Appendix A</a>.             <ul style="list-style-type: none"> <li>○ Recipients must describe the alignment of their organization’s national-level standards to the nine FEMA guidance resources described in <a href="#">Appendix A</a>.</li> </ul> </li> <li>• Efforts can include:             <ul style="list-style-type: none"> <li>○ Conducting assessments used to certify emergency managers using the national-level standards and criteria.                 <ul style="list-style-type: none"> <li>▪ Activities can include training, capacity building and outreach to increase awareness of and engagement in certification.</li> </ul> </li> <li>○ Maintaining and revising national-level standards and criteria used to certify emergency managers’ competence to manage emergency management programs, including:                 <ul style="list-style-type: none"> <li>▪ Validating and accrediting standards and criteria through a national-level accreditation body for standards.</li> <li>▪ Collecting input from the emergency management community, including subject-matter experts and practitioners from multiple emergency management disciplines regarding multiple hazard and jurisdiction types.</li> <li>▪ Maintaining subject-matter expert panel review and other input collected for the development or review process of standards.</li> </ul> </li> <li>○ Developing, maintaining, updating, and improving systems, policy and processes necessary to complete the objectives of the EMBAG, including maintaining systems, tools, and processes for certification candidate selection and records for certifications supported by the FY 2023 EMBAG.</li> </ul> </li> </ul>